
Electronic Theses and Dissertations

2020

An Assessment of factors influencing public participation in Kenya Urban Roads Authority projects

Reuben Mayianda
Strathmore Business School (SBS)
Strathmore University

Follow this and additional works at <https://su-plus.strathmore.edu/handle/11071/10194>

Recommended Citation

Mayianda, R. (2020). *An Assessment of factors influencing public participation in Kenya Urban Roads Authority projects* [Thesis, Strathmore University]. <https://su-plus.strathmore.edu/handle/11071/10194>

This Thesis - Open Access is brought to you for free and open access by DSpace @Strathmore University. It has been accepted for inclusion in Electronic Theses and Dissertations by an authorized administrator of DSpace @Strathmore University. For more information, please contact librarian@strathmore.edu

**AN ASSESSMENT OF FACTORS INFLUENCING
PUBLIC PARTICIPATION IN
KENYA URBAN ROADS AUTHORITY PROJECTS**

REUBEN MAYIENDA

MPPM/031290/17

**This dissertation is submitted in partial fulfilment of the requirements for the award of
a Master's degree in Public Policy and Management at Strathmore University**



Strathmore University Business School

Strathmore University

Nairobi, Kenya.

October 2020

DECLARATION

I declare that this work has not been previously submitted and approved for the award of a degree by this or any other university. To the best of my knowledge and belief, this dissertation does not contain any content that was produced by another person except where due reference is made in the dissertation itself.

© No part of this dissertation may be reproduced without the prior permission of the author and Strathmore University.

Name: Reuben Mayienda



Signature:

Date:21/10/2020

Approval

The dissertation of Reuben Mayienda was reviewed and approved by:

Dr. Elizabeth Muthuma

Strathmore University Business School

Dr. George Njenga

Executive Dean

Strathmore University Business School

Dr. Bernard Shibwabo

Director, Office of Graduate Studies



ABSTRACT

Community participation has potential advantages to communities ranging from; empowerment, capacity building, project effectiveness and efficiency, cost sharing and ownership. In Kenya, however, citizen participation is low, involving sharing opinions during public forums rather than participating in decision making as envisioned in the Constitution of Kenya. The objective of this study was to determine the factors influencing the level of public participation in Kenya Urban Roads Authority's (KURA's) projects. The specific objectives were; to determine the level to which KURA involves the public in their roads projects' design and implementation; and to determine how organizational and institutional factors influence the level of public participation in the design and implementation of Kenya Urban Roads Authority's (KURA's) projects. The study was based on public participatory models and the participatory democratic theory. Cluster sampling was used whereby the regions where KURA operates in and the headquarters formed the clusters. Purposive sampling was then employed to select a total of forty five participants drawn from each of the clusters. A questionnaire was used to collect primary data from the respondents. Data analysis was conducted using descriptive statistics and correlation analysis. The study established that KURA engaged various categories of people in the public in their project designs as well as in implementation. These included; the general public, community representatives and opinion leaders. It further established that the public was engaged in various stages of the road project development ranging from the feasibility study, planning stage, project design, during tendering as well as in project implementation. The study recommends that KURA should inform the public about what projects they intend to implement, collaborate with them, involve them, consult them and empower them while carrying out their projects. The study also recommends that in order to improve public participation in their projects; KURA allocates adequate human resources to carry out public participation activities and adopts proper public participation procedures and organizational strategies for public participation. KURA should further ensure that the assigned staff are adequately trained on how to conduct public participation forums effectively.

TABLE OF CONTENTS

DECLARATION.....	ii
ABSTRACT.....	iii
TABLE OF CONTENTS	iv
LIST OF FIGURES	vii
LIST OF TABLES	viii
ACRONYMS AND ABBREVIATIONS.....	ix
ACKNOWLEDGEMENTS	x
DEDICATION.....	xi
CHAPTER ONE: INTRODUCTION	1
1.1 Introduction	1
1.2 Background of the study	1
1.3 Problem statement.....	5
1.4 Research Objectives	6
1.5 Research Questions	7
1.6 Scope of the study	7
1.7 Significance of the study.....	7
CHAPTER TWO: LITERATURE REVIEW.....	9
2.1 Introduction	9
2.2 Theoretical review.....	9
2.2.1 Public participatory models	9
2.2.2 Participatory Democratic Theory	11
2.3 Empirical review of literature.	12
2.3.1 Public Participation.....	12
2.3.2 Organizational factors influencing public participation	17
2.3.4 Institutional factors influencing public participation.....	19
2.4 Key findings and research gap	22
2.5 Conceptual framework	23
2.6 Operationalization of Variables	25

CHAPTER THREE: RESEARCH METHODOLOGY	26
3.1 Introduction	26
3.2 Research design.....	26
3.2 Population and sampling	26
3.3 Data collection methods	27
3.4 Data analysis approaches	27
3.5 Research Quality	28
3.6 Ethical Considerations.....	29
CHAPTER FOUR: DATA ANALYSIS AND PRESENTATION.....	31
4.1 Introduction	31
4.2 Response Rate	31
4.3 Demographic Information.....	32
4.4 Descriptive Statistics	34
4.4.1 Level at which KURA involves the public in road projects’ design and implementation.	34
4.4.2 Organizational factors influencing the level of public participation	37
4.4.3 Institutional factors influencing the level of public participation.....	43
4.5 Correlation Analysis.....	45
CHAPTER FIVE: DISCUSSION, CONCLUSION AND RECOMMENDATIONS.....	47
5.2 Discussion	47
5.2.1 Public Participation in KURA Projects’ Design and Implementation	47
5.2.2 Influence of Organizational Factors on the Level of Public Participation	49
5.2.3 Influence of Institutional Factors on the Level of Public Participation.....	52
5.3 Conclusion.....	53
5.4 Recommendations	53
5.4.1 Public Involvement in KURA Projects	54
5.4.2 Organizational Factors.....	54
5.4.3 Institutional Factors	55

5.5 Limitations of the Study.....	55
5.6 Recommendations for Further Studies.....	55
REFERENCES.....	56
APPENDICES	60
Appendix I: Ethical Clearance Letter	60
Appendix II: NACOSTI Research Permit.....	61
Appendix III: Letter of introduction.....	62
Appendix IV: Informed Consent Form	63
Appendix V: Research Questionnaire	66



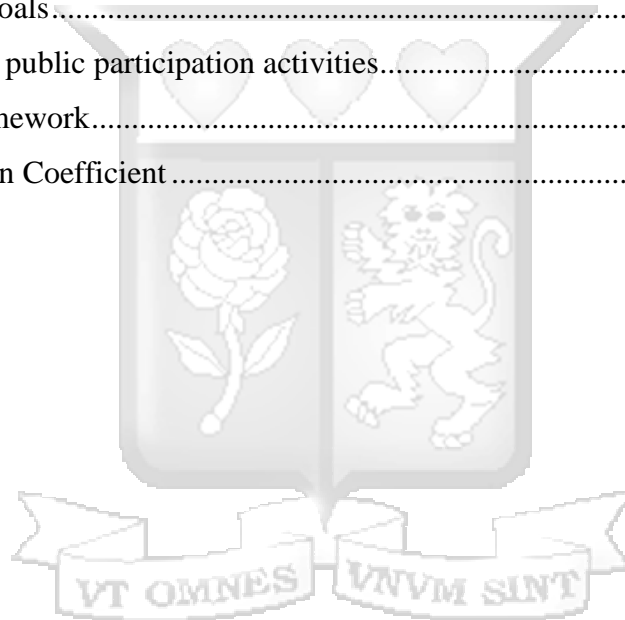
LIST OF FIGURES

Figure 2. 1 Ladder of participation	10
Figure 2. 2 Conceptual Framework	23



LIST OF TABLES

Table 2.1: Operationalization of Variables	25
Table 4.1: Response Rate.....	31
Table 4.2: Demographics of Respondents	32
Table 4.3: Role Played by Respondents in Public Participation.....	33
Table 4.4: Manner of public participation	34
Table 4.5: Level of public participation.....	36
Table 4.6: Public participation procedures	38
Table 4.7: Human resource capacity.....	39
Table 4.8: Financial Resources	40
Table 4.9: Strategic Goals.....	41
Table 4.10: Timing of public participation activities.....	43
Table 4.11: Legal framework.....	44
Table 4.12: Correlation Coefficient	45



ACRONYMS AND ABBREVIATIONS

EIA:	Environmental Impact Assessment
ESIA:	Environmental and Social Impact Assessment
GoK:	Government of Kenya
IAP2:	International Association for Public Participation
IEA:	The Institute for Economic Affairs
ISO:	International Organization for Standardization
KeNHA:	Kenya National Highways Authority
KeRRA:	Kenya Rural Roads Authority
KURA:	Kenya Urban Roads Authority
NACOSTI:	National Commission for Science, Technology and Innovation
UNDP:	United Nations Development Programme
UNEP:	United Nations Environment Programme
WB:	World Bank
WRI:	World Resources Institute

ACKNOWLEDGEMENTS

I thank God for His grace that has brought me this far. My gratitude to my supervisor Dr. Elizabeth Muthuma, for her generous guidance and support during this research process. My special thanks to Strathmore University Business School for enabling me to pursue my Master's degree in Public Policy and Management. Special thanks to my family who encouraged and supported me throughout my studies. I also thank the senior management of Kenya Urban Roads Authority (KURA) and all the staff members who were participants of this study. Lastly, to my friends Justus, Kennedy and Belinda among others who supported me. I pray that God blesses them all abundantly.



DEDICATION

I dedicate this research project to; my children Ian, Ruth and Abner, my wife Mary Moraa and my parents John and Keziah.



CHAPTER ONE: INTRODUCTION TO THE STUDY

1.1 Introduction to the chapter

This chapter outlines the; background of the study, problem statement, research objectives, research questions, scope of the study and significance of the study.

1.2 Background of the study

Public participation and involvement are a basic tenet of any nation's democracy (Papa, 2016). The World Bank underscores the importance of participatory development in ensuring communities actively participate in projects designed to deal with issues that affect their life and ensure their sustainability (World Bank, 2004). "The past several decades of development funding (e.g., World Bank in Africa) has demonstrated the failures of top-down approaches to development. A possible reason for these failures is attributed to the lack of local participation" (Khwaja, 2004).

Evidence drawn from urban development projects shows that non-formalized and non-binding procedures raise public acceptance and the quality of the planning process. Therefore, they should be implemented in early phases of planning (Friessecke, 2011). Furthermore, if the public participates in planning and execution in the delivery of services and goods, they are more successful (Montgomery, 1983). Without the participation of marginalized populations in transport projects, adverse impacts are anticipated in transportation policy and projects (Triplett, 2015).

The World Bank defines public participation as a process whereby stakeholders contribute to development initiatives and resources and decisions which have an impact on them (World Bank, 1994). It is whereby citizens' influence and share control over setting of priorities, making policies, allocating resources and accessing to public goods and services. In public participation process, before a decision is made, a government agency consults relevant individuals, organizations, and other government bodies.

Despite the proliferation of mandates, the exact goal, form, method, and content of public participation have not been detailed. Public Involvement is unstructured and uneven due to the

execution being state coalitions, transport agencies, civil engineers, architectures and urban designers. This has led to skepticism and mistrust of transport infrastructure designers, planners, and other professionals and viewing of public involvement processes as suspicious by the targeted stakeholders (Bailey & Grossardt, 2010). Neshkova and Guo (2012) document that there is strong evidence that public participation results in improved organizational performance because citizen views are positively and significantly correlated with enhanced efficiency and effectiveness of services. However, even with the increased focus on participation, little is understood or agreed upon regarding the meaning and content of public participation or when it is required. This poses the danger of participation being misinterpreted, misappropriated and eventually abandoned.

Developing countries encounter problems in their advances towards citizen participation and democratic governance (Denhardt, Terry, Delacruz, & Andonoska, 2009). Kauffman and Poulin (1994) state that “the provisions of opportunities for citizens to become involved in decision-making and planning has been established in programs ranging from the remediation of environmental hazards to health care and housing”. Public participation is increasingly a notable component of decision-making processes for infrastructure projects which is believed to be a means of reducing public opposition to planning proposals that result in environmental impacts to concerned communities. There has however been a shift to make infrastructure planning the responsibility of an independent Infrastructure Planning Commission (IPC) which has been criticized as being top-down and technocratic, hence diminishing the democratic rights of local communities by preventing participation (Cotton, 2011).

Transportation matters, require expert knowledge and preparation, hence discouraging administrators from implementing public participation initiatives (Neshkova & Guo, 2012). Even though, public participation is fundamental to the planning process, officials struggle with low participation levels from the general public (Triplett, 2015).

A number of factors directly related to the organization have been identified as potentially affecting public participation. First, organizational factors which have been categorized into; personnel issues which include Human resource policy and practice, organizational structure, well-being and professional conduct and operational issues which include internal organization

processes and external relations (Febbraro, McKee, & Riedel, 2008). Other authors have identified the following organizational factors; irregular adoption of participation methods, fear of not meeting targets and the belief by public officials that the public does not have sufficient capacity to participate (Li *et al* (2012)); skilled staff, financial resources, appropriate methods and unbiased moderation; and full transparency, fair access to information and binding handling of citizens' contributions (Renkamp, 2015). Second, Institutional factors which include; structure of government, political environment and culture and legal structures and requirements (Ebdon & Franklin, 2006); lack of an elaborate public participation procedure (Zhu, 2009); political goodwill and political interference (Ronoh, Mulongo, & Kurgat, 2018).

In America and Canada citizen participation is in advanced forms and in majority of the states it has been institutionalized. In Detroit, Michigan and Hamilton, Ontario for example, citizen participation is institutionalized in their transit planning processes. In Detroit, Citizen Advisory Committees are established to assist with the preparation of a regional transit master plan while in the City of Hamilton in Ontario there are Citizens' Jury (Sutcliffe & Cipkar, 2017).

In Latin American and Caribbean countries, specifically in Lima, Peru local participation was included in road projects aimed at addressing the impassability of roads by paving roads in low income areas. In Lima, Citizens of the municipality of Villa-el-Salvador were involved in the design and implementation of paving programs. While preparing for the urban transport project citizens in poor areas were involved in selection of road links. In Colombia, specifically in Cali, citizens were involved in assessing quality and trade-offs. As a result, the proposed expenditure on a metro system was not perceived as helping the poor, despite the politicians' claims (World Bank, 2002).

In Asia, Uzbekistan specifically, citizens involvement in assessing quality and trade-offs showed that there was greater concern with the availability of service to citizens than had been indicated by politicians. In India, the Mumbai Urban Transport Project involved slum dwellers in strategizing, resettlement provisions and selecting locations for the project (World Bank, 2002).

In East Africa as part of the Sub-Saharan Africa Transport Program (SSATP), different forms and roles of user participation were employed at different stages of the projects in Dar-es-Salaam. The discussions ranged from discussion of mobility problems, non-motorized transport

(NMT) problems, potential solutions and priorities to the planners. The project involved individual users, user groups and formally registered user associations (De Langen, 2000). A study conducted in Nairobi and Tanzania to determine the challenges of institutional coordination in planning for public transportation in East Africa found that in Dar-es-Salaam and Nairobi more than half of the participants felt that institution coordination in planning for public transport was constrained due to inadequate citizenry participation in planning process (Kanayama, 2016).

The Constitution of Kenya 2010 engrains citizen participation as part of its governance system and further enlists it as one of the national values and principles of governance. The Constitution expects government institutions to involve its citizens in their programs as detailed in article; 174 (1) (c) which gives powers of self-governance to the people and enhance the participation of the people in the exercise of the powers of the State and in making decisions affecting them and 184 (1) (c) which provides for participation by residents in the governance of urban areas and cities (Government of the Republic of Kenya, 2010). The Kenya Public Participation Guidelines, 2016 details five forms of public participation which include; inform, consult, involve, collaborate and empower (Republic of Kenya: Ministry of Devolution and Planning & Council of Governors, 2016).

The construction and maintenance of roads in Kenya is a function of the National Government and the County Governments. At the National Government level, three main organizations operating under the State Department of infrastructure with the responsibility of coordinating the development, rehabilitation and maintenance of the road network in Kenya and serve an advisory role to the Government. The organizations include the Kenya National Highway Authority (KeNHA) whose responsibility is the highways, the Kenya Urban Roads Authority (KURA) in charge of urban roads and the Kenya Rural Roads Authority (KeRRA) in charge of rural roads. The Kenya Urban Roads Authority (KURA) was established by an Act of parliament, Kenya Roads Act, 2007 and is specifically responsible for the management, development, rehabilitation and maintenance of all public roads in the cities and municipalities in Kenya except national highways (Government of the Republic of Kenya, 2007). Following the promulgation, the new Constitution in 2010, the Transition Authority published new roads re-classification assigning KURA the responsibility of overseeing national urban road network cutting across the country of

2,465 kilometers. By the end of June 2017, the Authority had ongoing development projects worth 34.7 billion, routine and periodic maintenance ongoing projects worth 4.3 billion and projects under design with estimated contract sum of 338.8 million (Kenya Urban Roads Authority (KURA), 2017).

With the promulgation of the Constitution, emphasis has been placed on County Governments to ensure that public participation is achieved in their projects. The legislation has however given room to public agencies to develop institutional policies to fulfil the obligation of public participation. The legislation is not clear on the level and methods of engaging citizens therefore creating a gap in terms of practices utilized by the various government agencies. It is therefore KURA's responsibility to enhance and promote public participation in its governance according to the provisions of the Constitution of Kenya, 2010. In an effort to understand the public participation scenario at KURA, this study sought to understand the extent of public participation employed by Kenya Urban Roads Authority's (KURA's) in their roads projects and the institutional and organizational factors that affect the level of public participation.

1.3 Problem statement

According to Wickramanayake (1994) community involvement in the identification of projects; positively affected the duration of infrastructure projects implementation, led to the identification of the people's needs and formulation of appropriate projects; and made the community aware of the project quality (Wickramanayake, 1994). The main aim of public participation is to start the process before contention arises. Transportation matters often result in strong reactions from the community resulting in stalled projects (Mohl, 2004).

Thwala (2010), states that community participation has a number of benefits including; enhancement of ownership, cost sharing, effectiveness and efficiency, capacity building and empowerment (Thwala, 2010). In Kenya however, participation is constrained to sharing opinions as opposed to being involved in decision making (Institute for Economic Affairs, 2015).

Studies have been conducted on public participation in County governance. One such study assessed the determinants of citizen participation in governance (Kalekye, 2016) while another determined the factors affecting public participation in effective devolved governance in Uasin

Gishu County (Gitegi C. &, 2016). Another study looks at challenges of integrating public participation in the devolved system of governance in Kenya. The study was conducted in Kericho, Bomet and Narok Counties (Ronoh, Mulongo, & Kurgat, 2018). Additionally, studies have focused on other projects aside from roads such as a study to investigate the determinants of community participation in the implementation of Garissa Sewerage Project (Hussein, 2013). These studies have further focused on the citizen's perspective i.e. a study on factors affecting the effectiveness of Public Participation in County Governance in Kenya conducted in Nairobi County (Kaseya & Kihonge, 2016). Fewer studies have focused on perspectives of the organizations on public participation in the road sector; i.e. a study to investigate the determinants of community participation in the implementation of county road development projects found that community members were neither aware of the project being implemented nor were they given an opportunity to participate. The study focused on community perspectives and roads in a rural setting in Kenya. (Keiya, 2016).

While majority of the studies listed above have focused on local governance especially at the County Government level and fewer in national government agencies, a study has not been conducted to understand, from the implementing agency perspective, the nature; organizational and institutional factors that influence the implementation of public participation in the planning and implementation of road infrastructure projects. This study therefore sought to determine how organizational and institutional factors affect the level of public participation and the extent of public participation employed by Kenya Urban Roads Authority's (KURA's) in their roads projects with an aim of improving the KURA public participation process.

1.4 Research Objectives

The general objective of the study was to assess the factors influencing the level of public participation in Kenya Urban Roads Authority's (KURA's) projects. The specific objectives were:

- i. To evaluate the level at which KURA involves the public in their road projects design and implementation?

- ii. To determine how organizational factors influence the level of public participation in the design and implementation of Kenya Urban Roads Authority's (KURA's) projects.
- iii. To determine how institutional factors influence the level of public participation in the design and implementation of Kenya Urban Roads Authority's (KURA's) projects.

1.5 Research Questions

This study aimed to answer the following questions:

- i. To what level of public participation does KURA involve the public in their road projects?
- ii. How do organizational factors influence the levels of public participation in the design and implementation of KURA's projects?
- iii. How do institutional factors influence the levels of public participation in the design and implementation of KURA's projects?

1.6 Scope of the study

The research focused on public participation at KURA in Kenya. It specifically studied the level of public participation and how institutional and organizational factors influence these levels of public participation from agency's (KURA's) perspective. It restricted itself to the institutional perspectives and focused on staff in KURA's regional and headquarter offices namely: Nairobi, Nyanza, North Rift, South Rift, Upper Eastern, North Eastern, Lower Eastern, Coast, Central, Western and the Headquarter office. The study further focused on the design and implementation stages of road projects.

1.7 Significance of the study

The insights from this research will inform policy makers on how organizational and institutional factors affect public participation in the design and implementation of road projects in Kenya. This will assist them to reorganize the public participation policy process in the infrastructure sector specifically to address the identified factors. This study would inform the KURA

management and specifically the team responsible for public participation on how to improve or strengthen their public participation activities by highlighting the level of public participation and how organizational and institutional factors influence the process as well as make recommendations on areas of improvement. It will further inform other road sector and infrastructure development sector stakeholders on possible areas of concern as they seek to fulfil their mandate in involving the citizens in their projects.

This study will contribute to the thought process of other researchers as part of their reference and study materials. Academicians and researchers in the area of public participation will find it valuable to refer to some of the areas of discussion in this study. Research gaps of this study could further be investigated to contribute to the wider policy discussion in Kenya and other Countries.



CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction

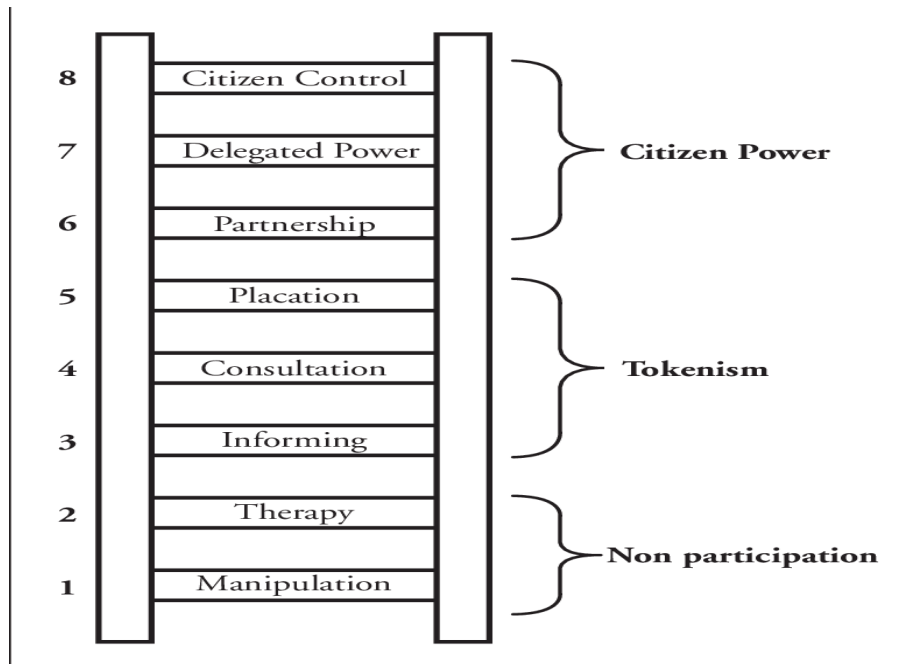
This chapter provides a critical review of literature on public participation and factors that affect it as well as studies conducted on this subject. It discusses: organizational and institutional factors, theoretical perspectives under public participation models and participatory democratic theory, empirical literature on organizational and institutional factors affecting public participation and conceptual framework.

2.2 Theoretical review

2.2.1 Public participatory models

Arnstein (1969) identified a ladder of participation with eight different types of participation. The first is manipulation and the second, therapy which she categorizes as “non-participation” since their aim is not for people to participate in planning, but to enable power holders to “educate” or “cure” the participants. Levels three, four and five are referred to as “tokenism” that allow the have-nots to hear and to have a voice. Level three is informing and level four, consultation whereby citizens listen and are listened to but they do not have the power to follow through that their opinions are implemented by the powerful. Level five, placation, is an advanced “tokenism” since it allows citizens to share their views but power holders make the decisions. Level six, partnership enables citizens to negotiate and engage in trade-offs with traditional power holders. In level seven, delegated power and eight, citizen control, citizens have managerial power and make decisions.

Figure 2. 1 Ladder of participation



Source: Arnstein, S.R. (1969)

Hampton's (1977) public participation has three stages: information dispersion; information gathering; and interaction between planning authority and the public. He states that the techniques under each stage are translated into two questions that will capture information shared and collected and the categories of publics involved. From these two questions the level of public participation can be determined. His Schema assumes that when more information is shared, more information is collected hence public participation is more effective.

James (2005) identified a continuum of participation, which includes a number of steps; informing, listening, engagement in solving problems and agreeing. He further added that public participation should be an essential component of decision making since there is no standard plan for public participation. Creighton (2005) proposed that planning be divided into; analyzing decisions, planning the process and planning the implementation for purposes of planning for participation activities that is suited for the uniqueness of each project.

The International Association for Public Participation (IAP2) (2006), developed a five stage public participation process which entails; inform, consult, involve, collaborate, and empower.

Triplett developed a Public Participation model aimed at closing the gap in models that were in existence by coming up with an integral view of public participation in transportation decision making (Triplett, 2015). The Model includes six steps; *Inform* which involves giving accurate and objective information to the public to facilitate their participation and assist in understanding the opportunities, solutions, problem and alternatives; *Access* which provides an opportunity for the access of the information disseminated and/or distributed to the public; *Listen* which involves getting the stakeholders' input, advice, and feedback and allows for a more in-depth engagement and involvement in the transportation decision-making process; *Engage/involve* which is the in-depth examination of views, perceptions, and interests received from the public; *Standing/influence*. Standing ultimately allots actual influence in the decision-making process and *influence* which means that the public's ideas have been respectively considered and they were part of the process; and *Influence* policy making which give a chance to the public to influence the overall policy-making process.

2.2.2 Participatory Democratic Theory

Participatory development is whereby stakeholders can share control and influence development initiatives. Dahl presents the contemporary theory of participatory democracy. In the book: *Democracy and its Critics*, (Dahl, 1989) Dahl states that ideally, the process of democracy should meet these criteria; voting equality which states that each citizen is entitled to a vote to ensure equality and protect minority rights. Effective participation which ensures that citizens have sufficient opportunities to present their opinions during decision making. Understanding; which ensures that citizens have access to information required to participate. Citizen control of the agenda and inclusion which ensures that minority rights are catered for.

Participatory democratic theory aims to ensure citizens participate in their governance, gives room for meaningful contribution in making decisions and strives to increase the number of citizens who have access to these opportunities (Hilmer, 2010). Participatory Democratic theory focuses on the assertion that individuals and their institutions are not viewed as separate from each other.

Pateman (1970) argues that for national participation to be at the highest level, there must be adequate training in order to develop the requisite attitudes and psychological qualities in

individuals. This also occurs as they take part in participation. Pateman also states that participatory democratic theory has an educative and psychological role since citizens acquire democratic skills. Pateman further states that Participation contributes to acceptance of decisions made collectively (Pateman, 1970).

Dahl highlights three components that may have an effect on citizens' participation. These include; the legal framework which ensures that the citizens' rights are guaranteed, equal and sufficient opportunities for citizens expressions of their opinions and views and information access to ensure meaningful participation.

The participatory models guided the assessment of the levels of public participation used by KURA. This research will specifically use the levels of participation by International Association for Public Participation (IAP2). The participatory democratic theory guided the study through the identification of factors to assess under the institutional and organizational factors that influence public participation. These include factors that have been highlighted under the theory i.e. legal framework, giving citizens have sufficient opportunities to present their opinions and providing access to information.

2.3 Empirical review of literature.

2.3.1 Public Participation

Citizen participation gives individuals the chance to participate in and influence decision making process (Davids, 2005). Public participation aids in achieving efficiency, quality and effectiveness in development projects and informs stakeholders on useful and collective methods of approaching one other and dispute resolution (Papa, 2016). There are broadly two forms of public participation; Informative public participation whereby the public is informed about a proposal and its potential effects, with minimal influence on decisions; and consultative public participation where the public shares their views and ideas are considered during decision making.

Public participation serves two functions. First, to begin a participatory process before dispute arises. When public participation is initiated in the initial planning phases of transport projects it reduces the chances of disputes arising regarding the design before implementation phase

commences (International Association for Public Participation (IAP2), 2006). Second, public participation fulfils the requirements of democratic governance. It is viewed as democracy because the “democratic principles embrace the philosophy that people have the right to influence what affects them. Public participation builds upon the value democracy brings to a society” (Gifford, 2003).

According to (Atieno, 2017), participation can be through representatives or direct. In a democracy, it is the citizens that determines the direction to go and their representatives’ role is to implement them. This means that even though the means are chosen techno-critically the end is selected democratically. A robust public participation system should be; responsive, use available resources and engrained in the planning process while taking into account the unique needs (Davids, 2005). The public participation program should motivate participants to reach a consensus. A study was conducted in Kenya to examine the role of public participation on performance of devolved governance systems in Kenya with a specific focus on citizen empowerment, policy and decision making, service delivery, conflict management and feedback mechanisms. The study was conducted in all Kenyan Counties where cluster and purposive sampling was used to select 400 respondents to whom questionnaires and interview guides were administered to collect quantitative data. The study found that government institutions omit public participation during the planning phase as they consider it resource intensive in terms of finances and time (Atieno, 2017). Public participation is mostly conducted as a result of a reaction from the public to a government action.

Public participation has the ability of being a beneficial addition to the technical planning process in urban transport so as to generate projects with extensive benefits (United Nations Development Programme, United Nations Environment Programme, World Bank and World Resources Institute , 2003). The (International Association for Public Participation (IAP2), 2007) identifies core values for Public Participation. They include; the right to involve those affected by the action or project, assurance that their contribution will be incorporated in the decision being made, actively involving those affected by the decision and creating a feedback mechanism for the participants.

A case study conducted on an urban infrastructure project in China that was funded by the World Bank, showed that where public participation was meaningful the design of the project better incorporated the needs of the project beneficiaries (Wenling & Shomik, 2006).

A project implemented in Sri-Lanka focused on social development and income generation demonstrated that public participation led to the identification of real community needs and therefore resulted in the design of the project to address these needs (Wickramanayake, 1994). Without valuable public participation, the decision-making process may be marred with legal and political challenges (International Association for Public Participation (IAP2), 2006). And the agency or organization could be perceived as not doing its job or not being willing to develop a relationship and/or a partnership with the public. This public perception could lead to lower levels of participation and/or involvement in transportation decision-making. Initiating public participation in the initial project phases reduces potential disputes from arising in project design and construction phases (Triplett, 2015).

Elhadi found that the level of participation in Sudan and community participation was strongly linked to smooth project implementation. Citizen participation was higher in identifying the problem and lower in execution of projects and evaluation. He conducted a case study in the projects being implemented by the Damazine office of the non- governmental organization (NGO) Practical Action in the Blue Nile state of Sudan. The case study sought to examine actual levels of participation and their determinants. Data collection was done using questionnaires, group discussions and observations (Elhadi, 2009).

Li, Thomas, and Skitmore (2012) set out to identify the weaknesses of EIA-based public participation in China and the means by which it may be improved for the whole life-cycle of PIC schemes. They conducted interviews with a diverse group of experts which included twenty-four experts representing a cross-section of the community, including the government, private sector, professional organizations, pressure groups, NGOs, the general public and academia who were purposively selected. They found that participation is mainly incorporated in the environmental impact assessment (EIA) in china and not in project implementation.

The Institute for Economic Affairs (IEA) in Kenya IEA conducted a study on Public Participation in County Governance and County Information Dissemination Frameworks, case

study of Isiolo, Kisumu, Makueni and Turkana counties between 2014 and 2015. The study reviewed provisions in the Constitution and existing legislation on public participation, identified frameworks, including processes and platforms put in place by the aforementioned county governments with the objective of facilitating public participation in governance processes and assessed citizen participation and engagement in governance. The study used both primary and secondary data. It conducted Key Informant Interviews with public officials and civil society representatives. Secondary data was obtained from the review of the Constitution and legal framework put in place by the Government of Kenya (GoK) to facilitate effective public participation and information dissemination framework at both levels of government (National and County). It also included a review of Public Participation Acts or Bills, County Planning Bills and Policies, County Monitoring and Evaluation Bills and Policies; and County Public Communication Bills and Policies. The study found that public participation in four counties (Isiolo, Kisumu, Makueni and Turkana) was conducted during ward level public forums every quarter in order to involve the public in planning and policy development. The public attend the sessions to air their views on development projects. However, the lack of knowledge on budget matters led them to engage less effectively by giving opinions (Institute for Economic Affairs, 2015).

A project funded by the World Bank in China had three phases of public participation incorporated into the project cycle. Phase I, implemented during design and feasibility stage was for identification of transport matters of importance to the people and incorporate them into the project. Phase II, created an opportunity for participants to come up with solutions to issues raised and was during the project design and appraisal while Phase III assessed the level of satisfaction of the public on the project and was done during the monitoring and evaluation of the project. In order to ensure participation, the project used open meetings, focused group discussions, questionnaires, panel approach and individual interviews. Public participation led to changes in the project design in line with public interest, raising of awareness of decision makers and a general interest in institutionalizing public participation (Wenling & Shomik, 2006).

Neshkova and Guo analyzed data from a survey administered in the United States within the 2005 Government Performance Project (GPP) in with a main purpose of assessing the performance of state governments. The GPP is a periodic survey conducted on state government

management practices in the areas of human resources, budgeting and financial management, infrastructure, and information. Data was collected by administering an online questionnaire to state officials, administrators, staff, and managers. They indicate in their paper that there are seven approaches of seeking citizen contributions include; via telephone calls, surveys, focus group discussions, open forums, public hearings, budget simulations, and citizen advisory boards or commissions (Neshkova & Guo, 2012). These seven strategies are used in the consulting, involving and collaborating stages identified in some of the models above. Phone calls and surveys aim to consult the citizens; focused group discussions, open forums, public hearing, and budget simulations aim to involve citizens and advisory boards aim to achieve collaboration. They found strong support that citizen input provides administrators with valuable site-specific information and contributes to more efficient and effective public programs. Their results also showed that there is not necessarily a trade-off between the values of democracy and bureaucracy, with clear implications for the theory and practice of democratic governance.

Slotterback conducted a study to examine the nature and effects of participation in the planning and design of transportation facilities in the United States. The study specifically focused on best practices for organizing, planning and decision processes for transportation facilities. Data was collected through interviews with 49 key participants. The interviews were conducted in person or via phone calls and included elected and appointed officials, representatives from relevant agencies and NGOs, the general public, professional architects, planners, landscape architects, and engineers. They were purposively selected based on their experience managing the participation processes or participating in them. The study documents that effective participation is fostered by the use of multiple methods including standard public hearing or open-house meeting, informal petition, writing an editorial, or attending a meeting of a neighborhood or project or plan is discussed, sharing information, feedback, and bringing people together and use of technology to enhance participation i.e. project websites, interactive mapping discussions (Slotterback, 2010).

According to (El-Gohary, Osman, & El-Diraby, 2006), the direction that information flows determines the participatory method that will be used i.e. there are information dispersion methods (e.g. leaflet, publication, exhibition or media release), information gathering methods (e.g. survey or questionnaire) and interaction techniques (e.g. community meetings and

workshops). A combination of methods is usually used as one method cannot fit all stakeholders or projects.

2.3.2 Organizational factors influencing public participation

Organizations are groups of individuals with a defined role and bound by some common goal with rules and procedures set to achieve set objectives (Bandaragoda, 2000). McKee categorized organizational factors into two broad categories; personnel issues which include; human resource policy and practice, organizational structure, well-being and professional conduct and operational issues which include internal organization processes and external relations (Febbraro, McKee, & Riedel, 2008).

Li *et al* (2012) found that the level of participation in public infrastructure and construction projects is quite limited, particularly in the crucial earlier stages. This was because of irregular adoption of participation methods, fear of not meeting targets and the belief by public officials that the public does not have sufficient capacity to participate. They found this in their study aimed at identifying the weaknesses of EIA-based public participation in China and the means by which it may be improved for the whole life-cycle of PIC schemes. They conducted interviews with a diverse group of experts which included twenty-four experts representing a cross-section of the community, including the government, private sector, professional organizations, pressure groups, NGOs, the general public and academia who were purposively selected.

Renkamp (2015) developed a policy brief which puts forth a number of measures aimed at improving participation in practice and professionalizing it. They include; starting participation early, making information-sharing and transparency mandatory, expanding participation beyond those affected directly, setting legally binding minimum quality standards, establishing legal accountability for responding to citizens' recommendations and securing the resources and skills needed for successful citizen participation. In it, she states that citizen participation is further dependent on; good preparation which incorporated clear goals, openness to public opinions and views and early-beginning and continuous participation; professional implementation that needs skilled staff, financial resources, appropriate methods and unbiased moderation; and full

transparency, fair access to information and binding handling of citizens' contributions (legal accountability) (Renkamp, 2015).

The capacity to handle a large number of individuals effectively in public participation forums and gaps in the knowledge of public participation methodologies affect effective public participation. "City officials may question the need for input or lack of access, or they may find it difficult to use input to shape budget decisions, the difficulty in making sure participants are representative, time and effort involved in educating before providing input, none institutionalization of the participation mechanisms, late involvement of participants and lack of clear articulation of goals in advance" as factors affecting public participation (Ebdon & Franklin, 2006).

Yang and Kathe conducted a research on citizen participation and governance which addressed the efforts of local governments to involve citizens in administrative processes. The study addressed efforts of local governments to involve citizens in administrative processes by focusing on the following questions: What social and political groups in the community promote citizen involvement? Which groups are likely to succeed? What barriers obstruct citizen involvement efforts? Do administrative attitudes make a difference in undertaking citizen involvement? The study tested a framework that assumes the decision to involve citizens in administrative processes reflects administrative responsiveness to salient community stakeholders, normative values associated with citizen involvement, and administrative practicality. To test the theory of bureaucratic responsiveness and the salience of stakeholder groups in influencing citizen involvement efforts, they conducted a national survey of county and city administrators. They sampled 932 chief administrative officers out of which 428 responded. Data collection was done by self-administered questionnaires. They found that majority of public officials are hesitant to involve the public or they involve them after decisions have been agreed upon so citizens end up disappointed and develop mistrust towards government and their ability to do the right thing (Yang & Kathe, 2007).

A study sought to determine the factors affecting public participation in effective devolved governance in Uasin Gishu County. The study was guided by the following objectives: to examine the effect of access to county information on public participation and effective devolved

governance in Uasin Gishu County, to assess the impact of citizen awareness on public participation and effective devolved governance in Uasin Gishu County and to find out the influence of accountability on public participation and effective devolved governance in Uasin Gishu County. The study was conducted in all six sub-counties of Uasin Gishu County. The study involved voters and Uasin Gishu County Transition Authority Coordinators. A total of 105 respondents participated. Data was collected through self-administered questionnaires, key informant interviews and focused group discussions. The study found that access to information, level of awareness on public participation by citizens and County government accountability affected public participation. The County government of Uasin Gishu attempted to provide information to its citizens but the channels and timing were improper, level of awareness was low given the lack of training efforts. The County was further found to lack accountability towards the needs of its residents with some feeling that their opinions were not being considered when making decisions (Gitegi & Iravo, 2016).

2.3.4 Institutional factors influencing public participation

According to North, Institutions are the rules of the game in a society or are the humanly devised constraints that shape human inter-action. They constitute incentives in human interactions and can be formal or informal (North, 1991). Formal institutions include rules written down either in legal text or a constitution and have an enforcement mechanism (Dobler, 2011). Institutions are a mixture of policy, laws, regulations, plans and procedures, incentives, accountability systems, traditions, practices and customs (Bandaragoda, 2000). The institutional factors focused on in this study are the laws (legal framework).

A study looking at citizen participation in the budget process identified four key elements of citizen involvement. They include the environment which incorporates four key elements. First, the structure of government, politics, legal structures and the size of the population size. Second, the process design which includes time, budget, participants, and collecting preferences, when coming up with the participation process. Third, the mechanism which includes meetings, focus group discussions, simulations, advisory committees and surveys and finally, the goals and outcomes which can be for informing, educating, gaining support, influencing decision making,

and improving trust and creating a sense of community in budget making (Ebdon & Franklin, 2006).

Ebdon and Franklin (2006) developed a typology of elements and variables that are important in developing and implementing citizen participation in the budget process; the environment, process design, mechanisms and goals and outcomes. Under the environmental aspect they discussed two aspects of the environment. First, the political environment may interfere with the city officials' commitment to seeking or using input with public officers being concerned about sharing decision making on complex matters with the public, administrators and elected officials feeling that the public has sufficient access. Second, environmental factors such as political culture and legal requirements may also have irregular effects on participation. The analysis resulted from their acknowledgement that variables within each element have received attention in the empirical literature, but no systematic effort has been made to uncover interaction effects and extend theory to make it more robust. They therefore considered the weaknesses in knowledge, suggested an impact model of citizen participation in budgeting, and identified hypotheses that may be tested in future research.

Wong, Hongyang and Thomas (2012) conducted a desk review study in China intended to stimulate thoughts and discussions on the key aspects to be considered when planning and conducting public participation for public infrastructure and construction (PIC) schemes. The study examined the salient elements of public participation by considering the questions of 'who', 'what' and 'how' in the process. The paper examined the international practices on how to conduct a public participation exercise effectively and efficiently. They then reviewed and compared participation models and methods. From literature review, they highlight factors governing the participatory process. They then capture the lessons from the Guangzhou–Shenzhen–Hong Kong express rail link project and propose a comprehensive participatory framework for PIC projects, especially those of a highly sensitive nature. They identified institutional factors that apply to decision makers. They include a particular decision having been already agreed upon, restrictions on information sharing and internal resistance. Challenges experienced included; the lack of an elaborate public participation procedure, short period allocated for participation, lack of a platform to raise concerns and information presented in a technical format. (Zhu, 2009).

A study conducted in Kericho, Bomet and Narok Counties in Kenya assessed challenges of integrating public participation in the devolved system of governance in Kenya. An analytical survey approach was used in the study and questionnaires were used to collect data which was subject to descriptive statistics. Proportionate stratified random sampling was used to select 384 participants from the three counties. The study found that the application of public participation faces some challenges, such as negative attitude towards it, lack of willingness of the public to participate, lack of capacity to participate, demand for incentives and lack of time by the citizens. It also found that lack of political goodwill and political interference influenced the extent and quality of participation affected the integration of public participation in the devolved system of governance (Ronoh, Mulongo, & Kurgat, 2018).

A study conducted in Machakos County to assess the determinants of citizen participation in devolved governance in the Country. The study was guided by the following specific objectives: to establish the nature of citizen participation in devolved governance, to find out institutional factors influencing citizen participation in devolved governance, to determine individual factors influencing their participation in devolved governance and the socio-cultural factors influencing their participation in devolved governance. It was an exploratory research design. Stratified sampling technique was used to group the population into constituencies. Purposive sampling used to sample participants for the study. A total of 182 respondents were targeted by the study (constituting 168 members of the public, 8 Members of County Assemblies (MCAs) and 6 ministers) out of which 107 responded (members of the public, 6MCAs and 5ministers) responded. Data was collected using questionnaires and Key Informant Interviews. The study concluded that institutional factors like outdated structures, poor security, corruption, tribalism and nepotism, lack of formal procedures to host public views and lack of proper channels for feedback influence the participation of the public in public governance (Kalekye, 2016). The study also found that members of the public in Machakos County participate in County governance through: attendance of development meetings and consultative forums and individual related factors such as poverty, lack of time and interest, ignorance and lack of confidence on the county leadership hinder their participation in governance. Socio-cultural factors such as: poor distribution of resources, poverty, illiteracy and age barriers influence the participation of the public in public governance.

2.4 Key findings and research gap

Literature on public participation has covered the definition, benefits, purpose which includes; to begin a participatory process before dispute arises and to fulfil the democratic nature of governance. It further shows that public participation process influences the design of projects to better address the broad needs of the project beneficiaries, as it helps project staff to pinpoint the problems and real needs of the people, and to formulate appropriate projects. Levels of public participation have further been identified.

The literature review above identifies specific selected organizational and institutional factors that will be studied to determine how they influence the level of participation at KURA. Organizational factors include human resource capacity, financial resources, the timing of participation activities, organization strategy/ goals and public participation procedures. Institutional factors include Legal and Policy Framework. Organizational factors identified include human resource capacity, financial resources, the timing of participation activities, organization strategy/ goals and public participation procedures. Institutional factors include Legal and Policy Framework. The literature review above identifies specific organizational and institutional factors that will be studied to determine how they influence the level of participation at KURA.

A study had not been conducted in the Kenyan context focusing on the institutional and organizational factors that affect the level of participation in line with IAP's five stages of participation i.e. informing, consulting, involving, collaborating, and empowering. This study aimed to fill this gap by focusing on Kenyan road projects implemented by KURA.

2.5 Conceptual framework

Figure 2. 2 Conceptual Framework



The organizational factors included human resource capacity, financial resources, the timing of public participation activities, strategic goals and public participation procedures. They were the independent variables. Public participation procedures were assessed by determining whether KURA has adopted public participation in its projects, the existence of a clear procedure for public participation in KURA which stipulates the time period for each step and for the entire exercise, clear goals for public participation, sufficient time for preparation and the existence of a functional feedback mechanism. Human resource capacity was assessed by determining the existence of staff dedicated to public participation initiatives, training provided to them, resources availed to them and their ability to engage the public in a manner they can understand.

Financial resources were determined by the existence of a budget for public participation, the accessibility of financial resources when required and whether they are sufficient. Strategic goals were assessed by enquiring whether KURA had organizational or strategic goals that involve public participation activities, whether participants saw a link between organization strategy and public participation and whether performance contracts included public participation initiatives. The timing of public participation was assessed by determining how long in advance the public was informed of an upcoming public participation activity, the channels used to inform them, the time allocated to public participation forums and the existence of a link between the timing of public participation activities and the level of public participation. The institutional factor used was legal and policy framework adds to the independent variables. The legal framework was assessed by determining whether a legal framework for conducting public participation existed, whether policy, procedures, guidelines on public participation existed and whether they clearly stipulated the stage at which the public should be involved and how.

The political environment was a moderating variable given that it affects and influences public participation processes.

The level of public participation formed the dependent variable of the study and was determined by the categories of “public” that were involved, the stage of the project at which they were involved and the levels were classified as either Informing, Consulting, Involving, Collaborating or empowering levels.

2.6 Operationalization of Variables

Table 2.1: Operationalization of Variables

Variable Type	Indicators	Measurement
Independent		Likert Scale Question 4,5,6
Independent Organizational factors	<ul style="list-style-type: none"> • Public Participation Procedures • Human resource capacity • Financial Resources • Strategic goals • Timing of public participation activities 	Likert Scale and open ended question Question 7,8,9,10,11,12,13,14,15,16
Independent Institutional Factors	<ul style="list-style-type: none"> • Legal and policy framework 	Likert Scale and open-ended question Q 17,18
Dependent Variable Public Participation	<ul style="list-style-type: none"> • Informing • Consulting • Involving • Collaborating • Empowering 	Likert Scale Q 6

CHAPTER THREE: RESEARCH METHODOLOGY

3.1 Introduction

This chapter outlines the research design of the study, the target population, sampling methods and procedures, data collection and analysis methods, research quality and ethical considerations as well as the data collection tools that were used for the study.

3.2 Research design

Research design elaborates what the study focuses on and how, including the variables that will be in the study and how the researcher intends to measure them in relation to each other and how the data will be collected (Warren, Gerber, & Robinson, 2018). This study employed a cross-sectional research design to determine the level of public participation and how organizational and institutional factors affect the level of public participation employed by the Kenya Urban Roads Authority. A cross-sectional design means that a sample of the subjects is taken at a single point in time (Warren, Gerber, & Robinson, 2018). This is because data was collected at one point in time to describe the nature of public participation at KURA and how institutional and organizational factors affect the level of public participation. The study used a quantitative approach using a self-administered questionnaire to obtain primary data from the Kenya Urban Roads Authority staff who engage directly in the public participation activities of the organization.

3.2 Population and sampling

The target population comprised of Kenya Urban Roads Authority staff, who were a total of 271 staff members and the sample constituted staff directly involved in public participation activities who were able to provide the required information regarding public participation initiatives at the organization. Cluster sampling was used whereby the regions where KURA operated and the headquarters formed the clusters. The respective clusters were: Nairobi, Nyanza, North Rift, South Rift, Upper Eastern, North Eastern, Lower Eastern, Coast, Central, Western and the Headquarter office. Purposive sampling was then used to select the participants for the study from each cluster. Purposive sampling is a method of non-probability sampling that involves the selection of participants based on their relevance to the research questions (Bryman, 2012). The

method was therefore used since the study required participants who directly involved in public participation activities who were able to provide the required information regarding public participation initiatives at the organization. The participants included all staff members who were directly involved in public participation activities at the organization. These were a total of 61 participants comprising of two participants from each region and 41 participants from the KURA headquarters. Out of these a total of 45 participants participated in the study by filling the questionnaires.

3.3 Data collection methods

A questionnaire (Appendix V) was used to collect quantitative and qualitative primary data from respondents. Questionnaires were suitable for this study given that the questions were standardized, thereby exposing the respondents to the same set of questions and the same system of analyzing and interpreting the responses. The questionnaire was designed to include a Likert scale that provided quantitative data and a few open-ended questions that provided qualitative data. Permission was sought from Kenya Urban Roads Authority prior to commencement of the research and prior consent was also obtained from each of the sampled participants. The questionnaire was self-administered.

3.4 Data analysis approaches

Completed questionnaires received from the participants were checked to verify that the responses were consistent, accurate and complete to facilitate data entry. Both descriptive and inferential statistics were used to analyze the data. Descriptive statistics analyzed research objective one that aims to determine what level of public participation KURA involves the public in their road projects. This consist of frequencies and percentages.

Inferential statistics; correlation, was used to analyze research objective two and three that aims to determine the existence of a relationship between organizational and institutional factors and the levels of public participation in the design and implementation of KURA's projects. Content analysis was used to analyze the qualitative data that was obtained from the open-ended questions.

3.5 Research Quality

This study ensured internal validity by enlisting the assistance of other researchers to evaluate the representativeness and suitability of the questions, to ensure they were essential and useful. This aided in the establishment of content validity and allowed the researcher to make rectifications before pilot testing.

Reliability was ensured by the research design section which provides a detailed explanation of the research process to allow for replication. Additionally, the researcher used a questionnaire with standard structured questions that were carefully phrased to avoid ambiguity. A Cronbach's alpha test was used to measure the consistency of responses across a set of questions to determine whether the questions are accurately measuring the variables of interest. The researcher had indicated that a reliability alpha of 0.70 or higher will be considered acceptable.

Table 3. 1 Reliability

Reliability for Public participation Procedures	Cronbach's Alpha
What channels do you use to involve the public in KURA project	0.765
KURA has Adopted PP Procedures	0.845
KURA has Existing PP Procedures	0.834
PP Procedure affects Level of Participation	0.881
PP Procedure is Clear	0.838
PP Procedures Stipulate Timed Steps	0.848
KURA Sets Clear PP Goals per Activity	0.842
KURA has Clear Functional Feedback	0.847
There Is Sufficient Time for PP Preparation	0.839
Reliability for Human Resource Capacity	Cronbach's Alpha
How many staff in your region or department participate in public participation initiatives	0.754
KURA has Dedicated Staff for PP	0.749
KURA has Trained Staff on PP	0.74
My Competence enables me to conduct PP	0.754
Resources for PP are at my Disposal	0.798
PP is Crucial in KURA Projects	0.712
My Presentation of Issues During PP is Easily Understood	0.779
Reliability for Financial Resources Statements	Cronbach's Alpha
KURA Provides Finances Specifically for PP in Programmes	0.753
Financial Resources for PP are Accessible When Required	0.772

Sufficient Financial Resources for PP are Available at KURA	0.765
Financial Resources Affect level of PP at KURA	0.886
Reliability for Organizational Strategy	Cronbach's Alpha
Does KURA have organizational goals/ objectives that involve public participation activities	0.876
KURA has Incorporated PP In Service Delivery	0.706
KURAs Mandate Requires PP In Projects	0.785
My PC Requires Delivering on PP Initiatives	0.892
KURA Goals Affect Level of PP Adopted	0.786
Reliability for Timing of Participation Activities	Cronbach's Alpha
How long in advance do you inform the public of a public participation activity	0.764
How do you inform the public of an upcoming public participation forum	0.732
Sufficient Time is allocated for Planning PP	0.849
Sufficient Time is allocated for Conducting PP	0.827
PP Is Conducted at Specific week Days	0.706
PP Is Organized around Community Calendar activities	0.706
The Public Is allocated Sufficient Time during PP Forums	0.739
The Timing of PP affects level of PP	0.75
Reliability for Legal and Policy Framework	Cronbach's Alpha
There Exists a Legal Framework for PP In Kenya	0.883
There Is a Formal Procedure for PP Forums	0.868
KURA has a Reference Guide for PP Initiatives	0.821
KURA has clear Guidelines on how to Conduct PP	0.839
Policy Legal Framework Is Clear on how to Involve the Public	0.83
The PL Framework Stipulates Stages for PP	0.861
How do you think KURA's public participation initiatives can be improved	0.865

Reliability results indicated that all the items in the questionnaire depicted a Cronbach's alpha of above 0.7. This implied that all the questions in the questionnaire were reliable. Therefore, the researcher proceeded to perform data analysis with all the items in the questionnaire and none of the items were dropped.

3.6 Ethical Considerations

Ethical approval was sought from the Strathmore University Ethics Review Board (Appendix I). Permission to conduct the study was also obtained from the National Council for Science and Technology who issued a research permit (Appendix II). Consent from Strathmore University

School of Graduate Studies and the Kenya Urban Roads Authority was also sought prior to the data collection. Informed consent was obtained from all the participants by explaining to them in detail about the research and its purpose, benefits and then requesting them to participate (Appendix IV). Confidentiality of the respondents was assured and observed. Confidentiality was further ensured by storing the completed questionnaires in a locked cabinet and the researcher used codes as opposed to names on the questionnaires.



CHAPTER FOUR: DATA ANALYSIS AND PRESENTATION

4.1 Introduction

The chapter presents the findings of this study which sought to determine the factors influencing the level of public participation in Kenya Urban Roads Authority's (KURA's) projects. This chapter is organized into; response rate, demographic information, level at which KURA involves the public in road projects' design and implementation, organizational and institutional factors influencing the level of public participation.

4.2 Response Rate

The research study had a sample size of sixty-one (61) Kenya Urban Roads Authority staff who are directly involved in public participation activities and were therefore able to provide the required information regarding public participation initiatives at the organization. Out of this sample size, 45 questionnaires were filled and returned to the researcher. This represents a response rate of 73.77%. This is good according to Bryman (2004). This rate can be attributed to data collection procedure where the respondent was given enough time to fill the questionnaire before returning them to the researcher. The 26.23% can be accounted for those who failed to completely fill in the questionnaires even after re-administering as well as those who never returned the questionnaires even after subsequent follow up. Table 4.1 indicates the response rate.

Table 4.1: Response Rate

	Number of respondents	Percentage
Response	45	73.77%
Non-Response	16	26.23%
Total	61	100%

4.3 Demographic Information

The demographic characteristics are presented in table 4.2 under gender, duration of service and level of education.

Table 4.2: Demographics of Respondents

	Variable	Frequency	Percentage
1	Gender	45	
	Male	34	77
	Female	11	23
2	Length of service	45	
	2-3 years	4	9
	More than 4 years	41	91
3	Highest level of education	45	
	Bachelor's Degree	24	53
	Postgraduate-MSc-PhD	21	47

From the findings, majority of the respondents (77%) were male while 23% were female. The findings also indicated that 91% of the respondents have worked with KURA for more than four years and none had less than a Bachelor's degree while 47% had a postgraduate degree. This has the implication that the respondents had been in the institution long enough to be in a position to provide relevant information regarding public participation, hence the information gathered was deemed valid. Further, having received the minimum education of bachelor's degree, the employees were considered to have required knowledge regarding their various roles and can therefore provide relevant information.

An inquiry on the role that the respondents played in public participation at KURA yielded a number of responses. The responses were arranged under themes reflecting the International Association for Public Participation (IAP2) spectrum of public participation, informing, consulting, involving, collaborating, and empowering as in Table 4.3.

Table 4.3: Role Played by Respondents in Public Participation

Level	Percentage
Informing	52
Consulting	12
Involving	12
Collaborating	7

According to the responses provided, most of the respondents (52%) were seen to play the role of informing in public participation. These responses comprised of; informing citizens on scope of projects, explaining the genesis of the projects, providing the public with balanced and objective information, scheduling meetings, writing invitation notices, media communications or consultations, mobilization of stakeholders in undertaking ESIA for road projects, explaining the scope of the project, explaining the objectives of KURA, coordination of public participation meetings, providing information on the projects, providing technical expertise, dissemination of the benefits of projects to citizens and informing the public on KURA's mandate.

A further, 12% indicated that they played the role of consulting in public participation. Responses under this were; participating in inquiries during compulsory land acquisitions, obtaining feedback from the public, seeking public opinion on design proposals, conducting prefeasibility and feasibility studies, data collection, and relaying public's complaints to management.

Additionally, 12% played the role of involving in public participation. Some of the responses provided regarding involving were; engaging the public during construction phase, advising the public on project specific details, ensuring stakeholders needs are met, discussing various details of the project, grievance redress, unlocking any challenges entailing the public and providing feedback to the public. Furthermore, 7% of the respondents played the role of collaborating in public participation. The responses provided included; working together for amicable solutions, facilitating team and working with the citizens through field studies. Finally, 17% of the respondents did not provide a response for this.

4.4 Descriptive Statistics

4.4.1 Level at which KURA involves the public in road projects' design and implementation.

The responses provided by the KURA staff, the respondents in the study was analysed and results tabulated to provide the percentages for each response. The results tabulated thereof represent the staff opinions.

a. Manner of public participation

The manner of public participation are presented in this section under; the category of public engaged, level of engagement, platform used to engage the public and channel used to inform the public.

Table 4.4: Manner of public participation

	Percentage (%)
Category of publics involved	
Opinion leaders	4
Representatives	10
General public	53
Property owners	33
Level of Public engagement	
Planning	16
Tendering	2
Feasibility study	64
Project implementation	16
Design	2
Platform used to engage public	
Face to face	53
Online platform	16
Media channels	11
Written memoranda	20
Channel used to inform public	
Local radio station	36
Newspapers	15
Posters	49

Table 4.3 indicates that, regarding the category of public that was engaged, 53% were the general public, 33% were property owners, 10% were community representatives and 4% were opinion leaders. This indicated that there was representation of the major categories of publics in KURA projects implying that KURA consider stakeholders in all levels.

Respondents further indicated that on the stage of road project development where the public was engaged, 64% was during feasibility study, 16% during implementation, another 16% was during planning stage, 2% during tendering and another 2% was during design. KURA has made efforts to involving the public in all phases. However, the involvement in the initial stages of tendering and design is quite low and relatively low in planning. They however seem to have a relatively high level of public participation during feasibility stage and then record a decrease in project implementation.

Face to face meetings accounted for 53% of the platform used, 20% was through written memoranda, 16% was online and 11% was through media channels. Lastly, concerning the channels used to inform the public of public participation, posters led at 49%, followed by local radio station at 36% and finally newspapers stood at 15%. This implies that while KURA makes use of a number of platforms, face to face meetings are frequently used. In addition, KURA used radio stations, newspapers and posters as channels for informing the public on public participation activities. While this is a good mix of channels, it may exclude those who may not get a chance to view posters or access newspapers.

b. Level of public participation

The responses for level of public participation are as tabulated in Table 4.5.

Table 4.5: Level of public participation

Level or stage	No extent	Slight extent	Moderate extent	Great extent	Total
Informing	0	4.4	42.3	53.3	100
Consulting	0	24.4	46.7	28.9	100
Involvement	2.2	17.8	35.6	44.4	100
Collaborating	4.4	33.3	46.6	15.7	100
Empowering	11.1	48.9	40	0	100

The study sought to understand how KURA employs the various levels of public participation in their projects. At the informing level, 53.3% of the participants indicated that they employ this level to great extent, 42.3% said to a moderate extent and 4.4% indicated to a slight extent. At the consulting level, 46.7% of the participants indicated that they consult their participants to moderate extent, 28.9% to a great extent and 24.4% to a slight extent. None of the participants indicated that they do not inform or consult the public.

For involvement, 44.4% of the respondents indicated that they involve participants in public participation initiatives to a great extent while 2.2% indicated that they do not involve participants. In collaboration, 46.6% of the participants indicated that they collaborate with participants of public participation activities to a moderate extent while 4.4% indicated that they do not involve them at all. Lastly, 48.9% reported that they empower the public during public participation activities, 11.1% reported that they do not empower them.

In order to determine the level of public participation most used by KURA. The researcher took into consideration the sum of the responses indicating moderate and great extent for each level. Based on this, the most popular level is informing at 95.6% followed by involvement at 80%, consulting at 75.6%, collaborating at 62.3 and finally empowering at 40%. KURA has therefore made efforts in using all forms of public participation. However, the extent to which the public

participates in higher levels of public participation i.e. collaborating and empowering are still low. This was further compared to the responses indicating ‘no extent’ i.e. involvement at 2.2%, collaborating at 4.4% and empowering at 11.1%.

From this analysis it was concluded that KURA mostly informs the public i.e. KURA provides the public with balanced and objective information on its programmes/ projects to assist them in understanding the problem, alternatives, opportunities and/or solutions. Further, KURA consults the public i.e. KURA obtains public feedback on analysis, alternatives and/or decisions regarding their programmes/ projects.

4.4.2 Organizational factors influencing the level of public participation

a. Public participation procedures

Table 4.5 indicates that 66.7% of the respondents indicated that KURA has adopted public participation procedures to a great extent and 22.2% indicated that they have adopted the procedures to a moderate extent. More so, 55.6% indicated that KURA has existing public participation procedures while 4.4% indicated that KURA has no existing public participation procedures. Similarly, 55.6% of the respondents indicated that public participation procedures affect the level of participation while 4.4% indicated that they do not.

Further, 37.8% of the respondents equally indicated that the public participation procedures were clear to a moderate extent and great extent while 24.4% indicated that they were clear to a slight extent. Majority (40%) of the participants indicated that the procedure for public participation stipulates the time limits for each step while 11.1% indicated that the procedure for public participation does not stipulates the time limits for each step.

Furthermore, 46.7% of the respondents indicated that the extent to which KURA sets clear goals for its public participation activities was to a great extent while 2.2% indicated that KURA does not sets clear goals for its public participation activities. Additionally, 40% of the participants indicated that KURA has clear functional feedback mechanism to a moderate extent, 28.9% indicated it exists to a great and slight extents and 2.2% indicated that it is nonexistent. Moreover, 51.1% of the participants indicated that there is sufficient time for public participation preparation to a moderate extent and 24.4% indicated to a moderate extent. Finally, 4.4%

indicated that there is not sufficient time for preparation. This implied that KURA has a public participation procedure put in place that guides in public participation. While participants are in agreement that the procedures have been adopted and they are clear, the indication by some participants however shows that they are not fully conversant with the procedures. This is due to the indication by some participants that public participation procedures do not exist; public participation procedures do not stipulate timed steps; KURA does not set clear public participation goals; and that they do not have sufficient time for preparation.

Table 4.6: Public participation procedures

	No extent	Slight extent	Moderate extent	Great extent	Total
KURA has adopted public participation procedures	0	11.1	22.2	66.7	100
KURA has existing public participation procedures	4.4	11.1	28.9	55.6	100
Public participation procedure affects level of participation	4.4	15.6	24.4	55.6	100
Public participation procedure is Clear	0	24.4	37.8	37.8	100
public participation procedures stipulate timed steps	11.1	40	35.6	13.3	100
KURA sets clear public participation goals per activity	2.2	24.4	26.7	46.7	100
KURA has clear functional feedback mechanism	2.2	28.9	40	28.9	100
There is sufficient time for public participation preparation	4.4	24.4	51.1	20	100

b. Human Resource capacity

The responses for human resource capacity were as tabulated in Table 4.7. Majority of participants, 64.4%, indicated that to a great extent has dedicated staff for public participation while 4.4% indicated that KURA does not have staff dedicated for public participation. Another

37.8% indicated that to a moderate extent KURA has trained staff on public participation while 11.1% indicated that KURA has not trained staff. Additionally, 44.4% of the respondents indicated that to a great extent their competence enabled them to conduct public participation, 42.2% indicated a moderate extent and 4.4 % felt they lacked the requisite competence.

Moreover, 42.2% of the participants indicated that to a moderate extent the resources for public participation are at their disposal, 26.7% indicated to a slight extent, 24.4% indicated to a great extent. However, 6.7% indicated that resources are not at their disposal. Majority (86.7%) of the participants indicated that public participation is crucial in KURA projects while 11.1% and 2.2% indicated the moderate extent and the slight extent. This indicated that KURA has made efforts in empowering and developing staff to conduct public participation activities further implying that KURA has the public in mind in its projects. However, a number of participants indicated that; KURA has not trained staff on public participation, they do not possess the required competence to enable them conduct public participation and resources for public participation are not at their disposal implying that while efforts have been made there remains room for improvement.

Table 4.7: Human resource capacity

	No extent	Slight extent	Moderate extent	Great extent	Total
KURA has dedicated staff for public participation	4.4	8.9	22.2	64.4	100
KURA has trained staff on public participation	11.1	20	37.8	31.1	100
My competence enables me to conduct public participation	4.4	8.9	42.2	44.4	100
Resources for public participation are at my disposal	6.7	26.7	42.2	24.4	100
Public Participation is crucial in KURA projects	0	2.2	11.1	86.7	100

c. Financial resources

From the responses, 46.7% of the respondents indicated to a great extent that KURA provides in budget finances specifically for public participation in programs, 26.7% indicated the moderate extent while 4.4% indicated the lack of finances specifically dedicated to public participation procedures. The respondents indicated that to a moderate extent (33.3%), slight extent (40%) the financial resources are sufficient for public participation. 8.9% however indicated that resources are insufficient for public participation.

Further, 42.2 % of the respondents further indicated that they can access the resources when required while 4.4 % indicated that they cannot access the funds when required. Furthermore, 62.2% of the participants indicated that financial resources affect the level of public participation at KURA while 4.4% indicated that it does not affect the level of public participation. The responses for financial resources are as tabulated in Table 4.8. Although KURA has dedicated efforts to provide finances for public participation, the finances allocated may not be sufficient. Staff however agree that financial resources affect the level of public participation at KURA.

Table 4.8: Financial Resources

	No extent	Slight extent	Moderate extent	Great extent	Total
KURA provides finances specifically for public participation in programs	4.4	22.2	26.7	46.7	100
Financial resources for public participation are accessible when required	4.4	28.9	24.4	42.2	100
Sufficient financial resources for public participation are available at KURA	8.9	40	33.3	17.8	100
Financial resources affect level of public participation at KURA	4.4	11.1	22.2	62.2	100

d. Strategic goals

Most (53.3%) of respondents indicated that to a great extent KURA has incorporated public participation as a key pillar for service delivery, 26.7% indicated to a moderate extent and 17.8% indicated to a slight extent while 2.2% indicated that KURA has not incorporated public participation as a key pillar for service delivery.

The results also showed that 60% of the respondent indicated that to a great extent KURA's mandate requires public participation in their projects while 2.2% indicated that it does not require public participation. More so, 40% indicated that their performance contract is dependent on delivering on public participation initiatives to a slight extent and 15.6% indicated that their performance contract is not dependent on delivering on public participation initiatives. Further, 48.8% indicated that KURA goals affect to a great extent the level of public participation adopted, 35.6% indicated it affects to a moderate extent and 15.6% indicated it affects to a slight extent. The responses for strategic goals are as tabulated in Table 4.9. While strategic goals incorporate public participation as a key pillar for service delivery, a considerable number indicated that their performance contract is not tied to their delivering on public participation therefore implying that they may not have an avenue to be held accountable.

Table 4.9: Strategic Goals

	No extent	Slight extent	Moderate extent	Great extent	Total
KURA incorporates public participation as a key pillar for service delivery.	2.2	17.8	26.7	53.3	100
KURAs mandate requires public participation in projects	2.2	11.1	26.7	60	100
My Performance Contract is dependent on delivering on public participation initiatives	15.6	40	20	24.4	100
KURA goals affect level of public participation adopted	0	15.6	35.6	48.8	100

e. Timing of Public participation activities

The findings established that 44.4% of the respondents indicated that to a moderate extent sufficient time is allocated to informing the public on upcoming public participation forums, 28.9% indicated to a slight extent while 24.4% indicated to a great extent. The findings also revealed that 2.3% indicated that insufficient time is allocated to informing the public on upcoming public participation forums. Further, 40% of the participants indicated that to a great extent sufficient time is allocated for public participation, 31.1% indicated moderate extent and 24.4% indicated to a slight extent while 4.4% indicated that insufficient time is allocated for public participation.

Furthermore, 31.1% of participants indicated that to a slight extent public participation is conducted during specific times of the week, 24.4% indicated moderate extent and 20% indicated to a great extent while 24.4% indicated that public participation is not conducted during specific times of the week. Equally, 28.9% indicated that public participation is organized around various activities in the community to a moderate and slight extent. However, 20% indicated that public participation is not organized around various activities in the community.

Moreover, 42% and 40% indicated that sufficient time is given for the public to engage in public participation forums to a moderate and great extent respectively. In addition, 13.3% indicated that sufficient time is given for the public to engage in public participation forums to a slight extent while 4.4% indicated that insufficient time is given for the public to engage in public participation forums.

More so, 53.3% and 35.6% indicated that the timing of public participation activities affects the level of public participation used to a great and moderate extent respectively. Finally, 6.7% indicated that the timing of public participation activities does not affect the level of public participation used. The responses for timing of public participation are as tabulated in Table 4.10. Although KURA has allocated time for public participation and it is timely, the responses provided by some staff indicated that this may not be the case in all scenarios. While a number of participants agreed that the timing of public participation activities affect the level of public participation, they do not seem to take into account activities that are ongoing in the community or the time of the week. Given that majority of participants in some areas work from Monday to Friday, they may not have an opportunity to participate if the public participation activities overlap with working hours.

Table 4.10: Timing of public participation activities

	No extent	Slight extent	Moderate extent	Great extent	Total
Sufficient time is allocated to informing the public on upcoming public participation forums	2.3	28.9	44.4	24.4	100
Sufficient time is allocated for public participation	4.4	24.4	31.1	40	100
Public participation is conducted during specific times of the week	24.4	31.1	24.4	20	100
Public participation is organized around various activities in the community e.g. community gatherings	20	28.9	28.9	22.2	100
Sufficient time is given for the public to engage in public participation forums	4.4	13.3	42.2	40	100
Timing of public participation activities affect the level of public participation used	6.7	4.4	35.6	53.3	100

4.4.3 Institutional factors influencing the level of public participation

Legal framework

Results showed that 64.5% of the participants indicated to a great extent they were aware of the existence of a legal framework for public participation in Kenya while 2.2% indicated that there is no legal framework for public participation in Kenya. Forty percent (40%) and 31.1% of participants further indicated that formal procedure for hosting public participation forums exist to a moderate and slight extent respectively. However, 4.4% indicated that there are no formal procedure for hosting public participation forums.

Further, 42.2% of the participants indicated that to a moderate extent, KURA has a reference guideline for its public participation initiatives, 26.7% indicated that it existed to a great extent. Furthermore, 11.1% indicated that there is no reference guideline for KURA's public participation initiatives, 33.3% of the respondents indicated that to a great extent the policy and legal framework clearly stipulates how to involve the public in projects while 28.9% equally indicated that it stipulates to a moderate and slight extent respectively. Additionally, 8.9%

indicated that the policy and legal framework does not clearly stipulate how to involve the public in projects. More so, 35.6% of the participants indicated that to a greater extent the legal or policy framework clearly stipulates in what stages of a project the public should be involved while 31.1% and 24.4% indicated a great and slight extent respectively. However, 8.9% indicated that the legal or policy framework does not clearly stipulate in what stages of a project the public should be involved. The responses for timing of legal and policy framework are as tabulated in Table 4.11. KURA as seen in the responses provided can be considered to have a legal framework for public participation, they may not however be known to all its staff. This is because some participants indicated that there is no legal framework for public participation in Kenya, there are no formal procedure for hosting public participation forums, KURA has no reference guideline for its public participation initiatives, there is no clear guidelines that KURA staff refer to on how to implement public participation, policy and legal framework does not clearly stipulates how to involve the public in projects or in what stages of a project the public should be involved.

Table 4.11: Legal framework

	No extent	Slight extent	Moderate extent	Great extent	Total
Existence of a legal framework for public participation in Kenya	2.2	13.3	20	64.5	100
Formal procedure for hosting public participation forums	4.4	31.1	40	24.5	100
KURA has a reference guideline for its public participation initiatives	11.1	20	42.2	26.7	100
Existence of clear guidelines that KURA staff refer to on how to implement Public Participation	11.1	31.1	28.9	28.9	100
Policy and legal framework clearly stipulates how to involve the public in projects	8.9	28.9	28.9	33.3	100
The legal or policy framework clearly stipulates in what stages of a project the public should be involved	8.9	24.4	35.6	31.1	100

4.5 Correlation Analysis

Spearman's correlation coefficient was used to test the strength of the association between the variables. The results were as presented in Table 4.12.

Table 4.12: Correlation Coefficient

		Inform ing	Consult ing	Involv ing	Collabora ting	Empowe ring
Public Participation Procedures	Pearson Correlation	.643**	.483**	.766**	.660**	.426**
	Sig. (2-tailed)	0.000	0.001	0.000	0.000	0.004
Human Resource Capacity	Pearson Correlation	.358*	.296*	.389**	.519**	0.283**
	Sig. (2-tailed)	0.016	0.048	0.008	0.000	0.06
Financial Resources	Pearson Correlation	0.359*	.418**	.377*	.476**	0.397**
	Sig. (2-tailed)	0.005	0.004	0.011	0.001	0.011
Organizational Strategy	Pearson Correlation	0.447*	.323*	.452**	.393**	.295*
	Sig. (2-tailed)	0.002	0.03	0.002	0.008	0.049
Timing of Participation Activities	Pearson Correlation	.378*	.430**	.527**	.399**	0.365
	Sig. (2-tailed)	0.01	0.003	0.000	0.007	0.08
Legal and Policy Framework	Pearson Correlation	0.197	0.117	.312*	.353*	.388**
	Sig. (2-tailed)	0.194	0.442	0.037	0.017	0.009
** Correlation is significant at the 0.01 level (2-tailed).						
* Correlation is significant at the 0.05 level (2-tailed).						

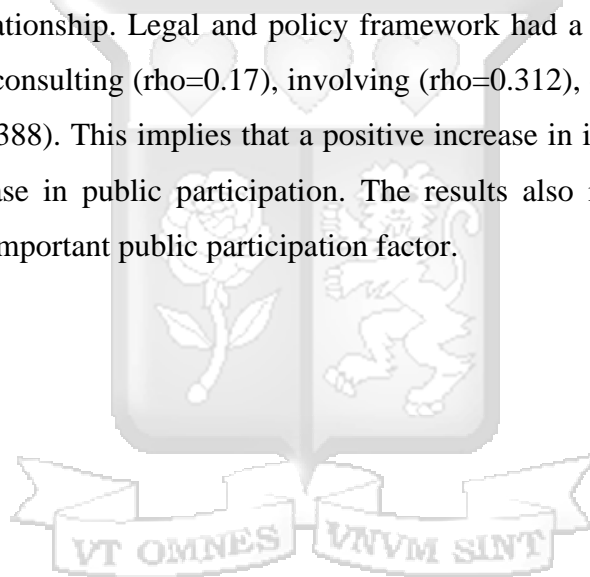
The findings established that all organizational factors had positive and significant relationship with public participation levels implying that a positive increase in organizational factors would result into an increase in public participation. Public participation procedures had a positive correlation with; informing ($\rho = 0.643$), consulting ($\rho = 0.483$), involving ($\rho = 0.766$), collaborating ($\rho = 0.660$) and empowering ($\rho = 0.426$).

Human resource capacity had a positive correlation with; informing ($\rho = 0.358$), consulting ($\rho = 0.296$), involving ($\rho = 0.389$), collaborating ($\rho = 0.519$) and empowering ($\rho = 0.283$). Further, financial resources had a positive correlation with; informing ($\rho = 0.359$), consulting

(rho=0.418), involving (rho=0.377), collaborating (rho=0.476) and empowering (rho=0.397). Furthermore, organizational strategy had a positive correlation with; informing (rho= 0.447), consulting (rho=0.323), involving (rho=0.452), collaborating (rho=0.393) and empowering (rho=0.295).

Moreover, timing of participation activities had a positive correlation with; informing (rho= 0.378), consulting (rho=0.430), involving (rho=0.527), collaborating (rho=0.399) and empowering (rho=0.365).

The results also revealed that institutional factors had a positive relationship with public participation i.e. informing, involving, collaborating and empowering while consulting had an insignificant positive relationship. Legal and policy framework had a positive correlation with; informing (rho= 0.197), consulting (rho=0.17), involving (rho=0.312), collaborating (rho=0.353) and empowering (rho=0.388). This implies that a positive increase in institutional factors would lead to a positive increase in public participation. The results also imply that organizational factors rank as the most important public participation factor.



CHAPTER FIVE: DISCUSSION, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

In this chapter, a presentation of the discussion of the findings is provided in line with the study objectives. It further presents the conclusions of the study and recommendations to the KURA management and to policy makers. The limitations faced while conducting the study are also discussed.

5.2 Discussion

5.2.1 Public Participation in KURA Projects' Design and Implementation

As determined from the findings, KURA mainly operates at the informing and consulting levels of public participation. This according to Arnstein (1969), is under “tokenism” which she says gives an opportunity to the have-nots to listen and be listened to. Under this she encompasses informing and consultation which are level three and four respectively, whereby citizens may indeed hear and be heard but they lack the power to ensure that their views will be heeded by the powerful. According to James (2005) this would be in the first two stages of his continuum of participation, which include; informing the public and listening to the public. It can further be likened to Hampton’s (1977) public participation schema whose first two stages are dispersing information and gathering information. Lastly, According to Triplett’s (2015) model, this fall into his first step, *Inform*, which involves giving accurate and objective information to the public to facilitate their participation and assist in understanding the problem, alternatives, opportunities, and/or solutions; second, *access*, which provides an opportunity for the access of the information disseminated and/or distributed to the public and third, *Listen* which involves getting the stakeholders’ input, advice, and feedback and allows for a more in-depth engagement and involvement in the transportation decision-making process.

According to Papa (2016), KURA involves the public in his two broad categories; the informative stage where public is informed but do not influence decision making and consultative stage where the public can coin their opinion and ideas and which are considered during the decision-making process. These findings are also is in line with the findings of a study conducted in Isiolo, Kisumu, Makueni and Turkana Counties in Kenya where it was found that

even though members of the public usually attend public participation meetings so as to share their opinion on development projects, due to lack of knowledge on budgets, public participation was merely about giving opinions (Institute for Economic Affairs, 2015). Additionally, Li *et al* (2012) found that there is limited participation in public infrastructure and construction projects, particularly in the crucial earlier stages. Given that public participation in KURA is mainly in informing and consulting, Dahl's (1989) effective participation is not adequately met as he envisioned this would occur when citizens have sufficient opportunity to participate throughout the project and decision making process.

The Involvement stage which means KURA works directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered and the collaborating stage which would mean KURA partners with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution are used to a lesser extent by KURA. This would be in line with Hampton's (1977) third stage which involves an interaction planning authority and the public. Similarly, according to James (2005), this would be under engaging the public in problem solving and developing agreements

Empowering which means KURA places the final decision making of its programmes or projects in the hands of the public is the least employed stage. This stage according to Arnstein (1969), would be under level eight, citizen control, whereby citizens make the majority of decisions and have full managerial power.

The study further established that KURA engaged various categories of people in the public in their project designs as well as in implementations. The categories identified included; the general public, community representatives and opinion leaders. The study also established that the public was engaged in various stages of the road project development. These stages ranged from the feasibility study, planning stage, project design, during tendering as well as in project implementation step. The feasibility study had the highest level of involvement compared to planning, design, tendering and implementation. This is centrally with what Elhadi (2009) found that community participation occur mostly in the problem identification stage and much less during implementation and evaluation. It can however be associated with what Li, Thomas, and

Skitmore (2012) found in China where participation mainly occurred during Environmental Impact Assessments (EIA) and not during project implementation.

Further, the study established that various channels of communication were used in communicating to the public about the projects. These channels included; memoranda, online media channels, posters, radio stations and newspapers. This can be compared to some of the participatory techniques highlighted by El-Gohary, Osman, and El-Diraby (2006). They include information dispersing techniques (e.g. leaflet, publication, exhibition or media release), and interaction techniques (e.g. community meetings and workshops). This concurred with the assertion by Neshkova and Guo (2012) who asserted that different strategies are used in seeking citizen input, including telephone calls, survey, focus group discussions, open forums, public meetings, simulations, and citizen advisory boards or commissions. It is also similar to a project in China which used open meetings and focused group discussions, questionnaires, panel approach and individual interviews (Wenling & Shomik, 2006). Further it can be likened to what Slotterback (2010) stated, that effective participation is fostered by the use of multiple methods including standard public hearing or open-house meeting, informal petition, writing an editorial, or attending a meeting of a neighborhood or project or plan is discussed, sharing information, feedback, and bringing people together and use of technology to enhance participation i.e. project websites, interactive mapping discussions. A study by Gitegi and Iravo (2016) found that Uasin Gishu County did provide citizens with information but it was untimely and via improper channels. A study conducted in Machakos County found that institutional factors such as the lack of proper channels for feedback influence the participation of the public in public governance (Kalekye, 2016).

KURA therefore has a public participation plan that considers the opinion of all people in all cadre in the community. This may improve the support and acceptance of the KURA projects by the public. Moreover, the community need to understand the need for the project and the decision-making process in order for them to accept the project outcome.

5.2.2 Influence of Organizational Factors on the Level of Public Participation

KURA has public participation procedures which majority of participants indicated are clear, stipulated timed steps, provided a clear public participation goals per activity, provided a clear

and functional feedback mechanism and also provided enough time for public participation preparation. The study established that these procedures were adopted albeit to various extents ranging from slight to great extent. While participants are in agreement that the procedures have been adopted and they are clear, the indication by some participants however suggest that they are not fully conversant with the procedures. This is due to the indication by some participants that public participation procedures do not exist, public participation procedures do not stipulate timed steps, KURA does not set clear public participation goals and that they do not have sufficient time for preparation. This can be attributed to what Li *et al* (2012) found that there is limited participation in public infrastructure projects, particularly in the crucial earlier stages because of among other reasons uneven progress in the adoption of participatory mechanisms.

Renkamp (2015) further states that citizen participation is dependent on good preparation which involves serious intentions and clear goals, early-starting and continuous participation. Further the lack of clear articulation of goals in advance is a factor affecting public participation (Ebdon & Franklin, 2006). Zhu (2009) listed; the lack of an elaborate public participation procedure, short period allocated for participation, lack of a platform to raise concerns and information presented in a technical format as challenges experienced in public participation. Similarly, a study conducted in Machakos County found that institutional factors such as the lack of formal procedures to host public influence the participation of the public in public governance (Kalekye, 2016).

On human resource capacity, the study established to a large extent that KURA has dedicated staff for public participation and had also trained the staff on public participation. The staff also indicated varying levels of competence in conducting public participation. The findings indicated that KURA has made efforts in empowering and developing staff to conduct public participation activities further implying that KURA has the public in mind in its projects. However, a number of participants indicated that; KURA has not trained staff on public participation, they do not possess the required competence to enables them to conduct public participation and resources for public participation are not at their disposal implying that while efforts have been made there remains room for improvement. Renkamp (2015) stated that citizen participation is dependent on professional implementation which requires skilled staff (Renkamp, 2015). (Ebdon & Franklin, 2006).

The study further established that KURA provides finances specifically for public participation in programs. The study also established that KURA has made efforts to provide financial resources for public participation which are accessible whenever required, however the resources may not be sufficient as indicated by some staff in their responses. Staff also agree that financial resources affect the level of public participation at KURA. This can be likened to what Renkamp (2015) states that citizen participation is further dependent on financial resources (Renkamp, 2015).

The study established that KURA incorporates public participation as a key pillar for service delivery. The study also established that KURA's mandate requires public participation in projects, however while strategic goals incorporate public participation as a key pillar for service delivery, a considerable number indicated that their performance contract is not tied to their delivering on public participation therefore implying that they may not have an avenue to be held accountable. A study conducted by Li *et al* (2012) found that the level of participation in public infrastructure and construction projects is quite limited, particularly in the crucial earlier stages because of among other reasons the risk of not meeting targets.

On the timing for public participation activities, the study established that sufficient time was allocated to informing the public on upcoming public participation forums and for public participation. While a number of participants agreed that the timing of public participation activities affect the level of public participation, KURA does not seem to take into account activities that are ongoing in the community or the time of the week. Given that majority of participants in some areas work from Monday to Friday, they may not have an opportunity to participate if the public participation activities overlap with working hours. Late involvement of participants as factors affecting public participation (Ebdon & Franklin, 2006).

The study further established that the organizational factors were positively correlated to the level of public participation. This implied that a unit increase in organizational factors would result in a unit increase the level of public participation The findings concurred with the findings by Renkamp (2015) who stated that citizen participation is further dependent on; good preparation which incorporated clear goals, openness to public opinions and views and early-beginning and continuous participation; professional implementation that needs skilled staff,

financial resources, appropriate methods and unbiased moderation; and full transparency, fair access to information and binding handling of citizens' contributions.

5.2.3 Influence of Institutional Factors on the Level of Public Participation

The study established that there were legal and regulatory frameworks put in place regarding public participation. A number of participants indicated that there is a legal framework for public participation in Kenya, there are formal procedures for hosting public participation forums, KURA has a reference guideline for its public participation initiatives and there exist clear guidelines that KURA staff refer to on how to implement public participation. Additionally participants also indicated that the policy and legal framework clearly stipulates how to involve the public in projects and also clearly stipulates in what stages of a project the public should be involved. Even though KURA as per the responses provided is considered to have a legal and policy framework in place for public participation, the same may not widely shared within the Authority and known to all its staff. This is because some participants indicated that there is no legal framework for public participation in Kenya, there are no formal procedures for hosting public participation forums, KURA has no reference guideline for its public participation initiatives, there is no clear guidelines that KURA staff refer to on how to implement Public Participation, policy and legal framework does not clearly stipulates how to involve the public in projects or in what stages of a project the public should be involved.

Ebdon and Franklin (2006) identified a number of factors that can be encountered in participation and they state that environmental factors such as legal requirements may also have inconsistent effects on participation. The findings also indicated a positive and significant relationship between legal and policy framework and public participation. This implied that a unit increase in legal and policy framework would result into an increase in public participation in public projects.

The correlation analysis also indicated a positive relationship between institutional factors and public participation. This implied that a unit increase in institutional factors would result in a decrease in public participation in public projects. This concurred with the findings of Ebdon and Franklin (2006) who identified factors that are encountered in public participation such as the political environment, political culture and inconsistent legal frameworks which may result in

lack of commitment by public officers. These findings are also in line with the factors identified in the participatory democratic theory where Dahl (1989) emphasizes on the existence of a legal framework that guarantees the citizens their rights to participate. Kalekye (2016) found out that institutional factors such as lack of formal procedures to host public participation activities influence the participation of the public in public governance.

5.3 Conclusion

KURA involves a range of stakeholders in their projects including the general public, the community leaders and opinion leaders in their projects. The public is however, involved mostly in the first two stages of participation; informing and consulting. The feasibility study is the stage of the project cycle where public participation mostly happens and less in planning, project design, tendering as well as in project implementation.

The study established that organization factors influenced public participation albeit with varying degrees. Human resource capacity and organizational strategies have a positive and significant influence on public participation while financial resources, public participation procedures, and timing of participation activities are insignificantly related with public participation. The gaps identified which hinder public participation in KURA include inadequate staff training on public participation, staff not being held accountable on public participation through performance contracting, not involving the public in all stages of project life cycle and a weak feedback and complains management mechanism by staff and management.

It was further established that legal and policy frameworks regarding public participation had a positive and significant influence on public participation. While KURA has made efforts in its processes, there were observable weaknesses such as inadequate formal procedures and reference guidelines for conducting public participation and lack of clarity as to how and what stage to involve the public in the project life cycle.

5.4 Recommendations

The study makes recommendations to the Management of KURA and policy makers based on the study findings.

5.4.1 Public Involvement in KURA Projects

The study recommends to KURA Management to consider increasing the level of public involvement in their projects. Management should make sure that they start-off with the public right from commencement of the projects and move on with them to the end. The Authority should inform the public about what they intend to do, collaborate with them, involve them, consult them and empower them while carrying out their projects. They should also use the channels of communication that are easily accessible to the public in order to ensure that the messages reach to people of all cadre. Recommendation to the Policy Makers, is that they need to provide guidelines to the infrastructure sector on how to involve the public in their projects.

5.4.2 Organizational Factors

The study found out that organizational factors such as human resource capacity and strategic goals positively influence public participation. The study therefore recommends to the management of KURA that in order to improve public participation in their projects, there is need for adequate human resources to be assigned to carry out the activity and also adoption of proper organizational strategies. KURA should continuously build the capacity of the staff in public participation on matters regarding public participation, this will enhance their competence in handling the public. This should include a session to familiarize the staff on public participation legal framework in the Constitution of Kenya, 2010, the County Government Act and the Public Finance Management Act. To ensure that staff comply with the laid down guidelines, it is recommended that performance contracts of the relevant staff to incorporate public participation component.

The organizational strategies should also be clearly defined and greatly focus in public participation. KURA should improve on public participation procedures. The procedures should ensure that they stipulate the time within which each step should be completed. This time should be adequate. KURA should endeavor to involve the public in every step of the projects. KURA should further strengthen the complaints and feedback mechanism to ensure that each concern is addressed within a specific timeline and feedback given to the public. The management at KURA should further allocate adequate financial resources to carry out public participation activities.

5.4.3 Institutional Factors

The study found that legal and policy framework has a positive influence on public participation. It is recommended to policy makers to continue reviewing relevant legal and policy framework to encourage public participation and enhance compliance with public participation guidelines on infrastructure projects. The policies should highlight and explain how and when to involve the public in the public projects. The KURA Management KURA should consider developing an institutional public participation policy and attendant guidelines to guide its projects public participation activities. This policy should be continuously reviewed and compliance monitored.

5.5 Limitations of the Study

Limitations were majorly faced during the data collection process. Accessing the study participants was not easy since they were very busy and were scattered all over the country while carrying out their assignments. This limitation was overcome by providing for sufficient time to access the participants and further giving them enough time to respond to the questionnaire.

5.6 Recommendations for Further Studies

The present study focused on factors influencing public participation in KURA projects from the implementing agency perspective. Future studies could focus on factors influencing public participation from the public or citizens' perspective and also projects in other agencies within the infrastructural sector in order to compare the findings with the findings of this research. Other studies could focus on private sector projects and assess public participation in these sectors.

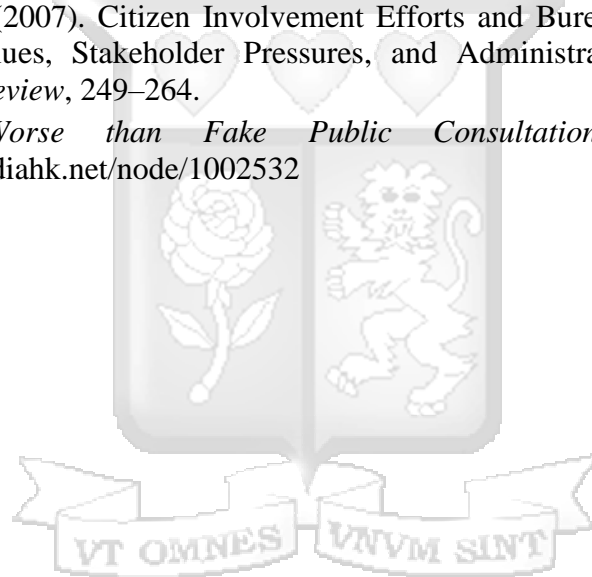
REFERENCES

- Arnstein, S. R. (1969). A Ladder of Citizen Participation. . *Journal of the American Planning Association.* , 35(4), 216-224.
- Atieno, S. (2017). *Role of Public Participation on Performance of Devolved Governance Systems in Kenya.* . Nairobi: (Unpublished PHD Dissertation). Jomo Kenyatta University of Agriculture and Technology.
- Bailey, K., & Grossardt, T. (2010). Toward Structured Public Involvement: Justice, Geography and Collaborative Geospatial/Geovisual Decision Support Systems. *Annals of the Association of American Geographers*, 100(1), 57-86.
- Bandaragoda, D. J. (2000). A Framework for Institutional Analysis for Water Resources Management in a River Basin Context. *Working Paper 5*. Colombia, Sri Lanka: International Water Management Institute.
- Bryman, A. (2004). *Social Research Methods*. New York: Oxford University Press.
- Carroll, A. B., & Buchholtz, A. K. (2003). *Business and society : Ethics and stakeholder management* . Mason Ohio: South-Western Thomson learning.
- Cotton, M. (2011). Public participation in UK infrastructure planning: Democracy, technology and environmental Justice. In C. Matthew, & M. Bernado (Eds.), *Engaging with Environmental Justice: Governance, Education and Citizenship* (pp. 201-211). Oxford: Interdisciplinary Press.
- Creighton JL (2005). *The Public Participation Handbook: Making Better Decisions through Citizen Involvement*. Jossey-Bass, San Francisco, USA.
- Creswell, J. W. (2008). *Educational research: Planning, conducting, and evaluating quantitative and qualitative research*. Upper Saddle River: Pearson.
- Dahl, R. A. (1989). *Democracy and its Critics.* . New Haven: Yale University Press.
- Dauids, I. (2005). *Voices from Below; Reflecting on Ten Years of Public Participation; the Case of Local Government in the Western Cape Province*. Cape Town;: Foundation for Contemporary Research.
- Denhardt, J., Terry, L., Delacruz, E. R., & Andonoska, L. (2009). (2009) Barriers to Citizen Engagement in Developing Countries. . *International Journal of Public Administration*, 32(14), 1268-1288.
- Dobler, C. (2011). *The Impact of Formal and Informal Institutions on Economic Growth: A Case Study on the MENA Region*. New York: Peter Lang AG.
- Ebdon, C., & Franklin, A. (2006). Citizen Participation in Budgeting Theory. . *Public Administration Review*, 437-447.
- El-Gohary, N., Osman, H., & El-Diraby, T. E. (2006). Stakeholder management for public private partnerships. *International Journal of Project Management*. *International Journal of Project Management*, 24(7), 595-604.
- Elhadi, A. (2009). *"Participatory Approach from Theory to Practice Case Study: Practical Action Project, Blue Nile State, Sudan"*. SIT Graduate Institute. Capstone Collection. 1247.
- Febbraro, A., McKee, B., & Riedel, S. (2008). Multinational Military Operations and Intercultural Factors. *Technical Report documents the findings of Research Task Group 120*. Paris: The Research and Technology of North Atlantic Treaty Organization.

- Field, A. (2009). *Discovering Statistics Using SPSS for Windows*. Los Angeles: Sage Publications.
- Friesecke, F. (2011). *Public participation in urban development projects: a German perspective; Public Private Partnerships in Planning and Development*. Marrakech.
- Gifford, J. (2003). *Flexible urban transportation*. (1 ed.). New York: Elsevier Science Ltd.,.
- Gitegi, C. &. (2016). Factors affecting public participation in effective devolved governance in Kenya: a case of Uasin Gishu County. *The strategic journal of business and change management*, 3(4), 1302-1324.
- Government of the Republic of Kenya. (2007). (2007). The Kenya Roads Act. . Nairobi: Government of Kenya.
- Government of the Republic of Kenya. (2010). The Constitution of Kenya. . Nairobi: National Council for Law Reporting.
- Hampton, W. (1977). Research into public participation in structure planning. . In S. W. (eds)). (Ed.), *In Public Participation in Planning* (pp. 17-33). London: Routledge.
- Hilmer, J. D. (2010). The State of Participatory Democratic Theory,. *New Political Science*, 43-63.
- Hussein, A. (2013). *Determinants of community participation in the implementation of development projects: A Case of Garissa Sewerage projects*. Nairobi: (Unpublished Masters Thesis). University of Nairobi.
- Institute for Economic Affairs. (2015). *Review of status of Public Participation, and County Information Dissemination Frameworks: A Case Study of Isiolo, Kisumu, Makueni and Turkana Counties*. . Nairobi: Institute of Economic Affairs.
- International Association for Public Participation (IAP2). (2006). *Public participation for decision makers: What, why, and how to involve others in your decisions-student manual*. International Association for Public Participation (IAP2).
- International Association for Public Participation (IAP2). (2007). *IAP2 core values for the practice of public participation*. . Denver: International Association for Public Participation (IAP2).
- James, C. (2005). *The Public Participation Handbook: Making Better Decisions through Citizen Involvement*. (1 ed.). San Francisco: Jossey-Bass.
- Kalekye, D. (2016). *Determinants of citizen participation in devolved governance in Kenya; A case study of Machakos County*. . Nairobi: (Unpublished masters thesis). University of Nairobi.
- Kaseya, C. N., & Kihonge, E. (2016). Factors Affecting the Effectiveness of Public Participation in County Governance in Kenya: A Case of Nairobi County. *International Journal of Scientific and Research Publications*, 476-487.
- Kauffman, S., & Poulin, J. (1994). Citizen participation in prevention activities. *A path model. Journal of Community Psychology*, 22(4), 359-374.
- Keiya, H. (2016). *Factors influencing community participation in the implementation of murram road projects in Nyamira County Kenya*. . Nairobi: (Unpublished masters thesis). University of Nairobi.
- Kenya Urban Roads Authority (KURA). (2017). *Kenya urban Roads Authority Annual Report for 2016/2017*. . Nairobi: Kenya Urban Roads Authority (KURA).

- Khawaja, A. (2004). Is Increasing Community Participation Always a Good Thing? *Journal of the European Economic Association*, 2(2), 427-436.
- Li, T. H., Thomas, N., & Skitmore, M. (2012). Public participation in infrastructure and construction projects in China: From an EIA-based to a whole-cycle process. *Habitat International*, 36(1), 47-56.
- Miller, J. W., Stromeyer, W. R., & Schwieterman, M. A. (2013). Miller, J. W., Stromeyer, W. R., Extensions of the Johnson-Neyman Technique to linear models with curvilinear effects: Derivations and analytical tools. *Miller, J. W., Stromeyer, W. R., & Schwieterman, M. A. (2013). Extensions of the Johnson-Neyman TechnMultivariate Behavioral Research*, 48(2), 267 - 300.
- Mohl, R. (2004). Stop the road: Freeway revolts in American cities. . *Journal of Urban History*, 30(5), 674-706.
- Montgomery, J. (1983). When Local Participation Helps. *Journal of Policy Analysis and Management*, 3(1), 90-105.
- Neshkova, M., & Guo, H. (2012). Public Participation and Organizational Performance: Evidence from State Agencies. *Journal of Public Administration Research and Theory*, 22(2), 267-288.
- North, D. (1991). Institutions. *Journal of Economic Perspectives*, 97-112.
- Papa, O. (2016). *Factors Influencing Public Participation in Project Development in Busia County Kenya* . Nairobi: Unpublished Masters Thesis. University of Nairobi.
- Pateman, C. (1970). *Participation and Democratic Theory*. . Cambridge: Cambridge University Press.
- Renkamp, A. (2015). Paving the Path for Citizen Participation in Infrastructure Projects. *Future of democracy*., p. 8.
- Republic of Kenya: Ministry of Devolution and Planning& Council of Governors. (2016). *County Public Participation Guidelines*. Nairobi: Ministry of Devolution and Planning and Council of Governors.
- Ronoh, G., Mulongo, L., & Kurgat, A. (2018). Challenges of integrating public participation in the devolved system of governance for sustainable development in Kenya. *International Journal of Economics, Commerce and Management*., 6(1), 476-491.
- Slotterback, C. (2010). PUBLIC INVOLVEMENT IN TRANSPORTATION PROJECT PLANNING AND DESIGN. *Journal of Architectural and Planning Research*, 27(2), 144-162.
- Thwala, D. (2010). Community participation is a necessity for project success: A Case Study of Rural Water Supply Project in Jeppes Reefs, South Africa. *African Journal of Agricultural Research*, 5(10), 970-979.
- Tikare, S., Youssef, D., Donnelly-Roark, P., & Shah, P. (2001). 'Organising participatory processes in the PRSP.' . Washington, D.C: World Bank.
- Triplett, K. (2015). Citizen Voice and Public Involvement in Transportation Decision-making: A Model for Citizen Engagement. . *Race, Gender & Class*, 22(3-4), 83-106.
- United Nations Development Programme, United Nations Environment Programme, World Bank and World Resources Institute . (2003). *World Resources 2002-2004. Decisions for the Earth: Balance, voice, and power*. Washington, D.C.: United Nations Development

- Programme, United Nations Environment Programme, World Bank and World Resources Institute .
- Warren, E., Gerber, B., & Robinson, S. (2018). *Public Administration Research Methods*. New York: Routledge.
- Wenling, C., & Shomik, R. M. (2006). *Public Participation in Urban Transport Project, Liaoning, China*. . Washington DC. : World Bank. .
- Wickramanayake, E. (1994). Bottom-up approach for sustainable community development in Sri Lanka. *Review of Urban and Regional Development studies*, 6(2), 192-199.
- Wong, J., Hongyang, L., & Thomas, N. S. (2012). Rethinking public participation in infrastructure projects. . *Proceedings of the Institution of Civil Engineers* (pp. 101-113). Hong Kong: Municipal Engineer.
- World Bank. (1994). *The World Bank and Participation*. Washington, D.C: World Bank Group.
- World Bank. (2004). *World Development Report: Making Services Work for Poor People*. Washington, D.C: World Bank Group.
- Yang, K., & Kathe, C. (2007). Citizen Involvement Efforts and Bureaucratic Responsiveness: Participatory Values, Stakeholder Pressures, and Administrative Practicality. *Public Administration Review*, 249–264.
- Zhu, K. (2009). *Worse than Fake Public Consultation*. . Retrieved from <http://www.inmediahk.net/node/1002532>



APPENDICES

Appendix I: Ethical Clearance Letter



Strathmore
UNIVERSITY

18th February 2020

Mr Mayienda, Reuben
mayienda76@yahoo.com

Dear Mr Mayienda,

RE: Factors Influencing Public Participation in Kenya Urban Roads Authority Projects


This is to inform you that SU-IERC has reviewed and **approved** your above research proposal. Your application approval number is **SU-IERC0633/20**. The approval period is **18th February, 2020 to 17th February, 2021**.

This approval is subject to compliance with the following requirements:

- i. Only approved documents including (informed consents, study instruments, MTA) will be used
- ii. All changes including (amendments, deviations, and violations) are submitted for review and approval by SU-IERC.
- iii. Death and life threatening problems and serious adverse events or unexpected adverse events whether related or unrelated to the study must be reported to SU-IERC within 72 hours of notification
- iv. Any changes, anticipated or otherwise that may increase the risks or affected safety or welfare of study participants and others or affect the integrity of the research must be reported to SU-IERC within 72 hours
- v. Clearance for export of biological specimens must be obtained from relevant institutions.
- vi. Submission of a request for renewal of approval at least 60 days prior to expiry of the approval period. Attach a comprehensive progress report to support the renewal.
- vii. Submission of an executive summary report within 90 days upon completion of the study to SU-IERC.

Prior to commencing your study, you will be expected to obtain a research license from National Commission for Science, Technology and Innovation (NACOSTI) <https://oris.nacosti.go.ke> and also obtain other clearances needed.






Yours sincerely,

for: 
Dr Virginia Gichuru,
Secretary; SU-IERC

Cc: Prof Fred Were,
Chairperson; SU-IERC



Appendix II: NACOSTI Research Permit

 REPUBLIC OF KENYA	 NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY & INNOVATION
Ref No: 153792	Date of Issue: 20/February/2020
RESEARCH LICENSE	
	
This is to Certify that Mr.. Reuben Mayianda of Strathmore University, has been licensed to conduct research in Nairobi on the topic: FACTORS INFLUENCING PUBLIC PARTICIPATION IN KENYA URBAN ROADS AUTHORITY PROJECTS for the period ending : 20/February/2021.	
License No: NACOSTI/P/20/4076	
Applicant Identification Number 153792	 Director General NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY & INNOVATION
Verification QR Code 	
NOTE: This is a computer generated License. To verify the authenticity of this document, Scan the QR Code using QR scanner application.	

Appendix III: Letter of introduction

Ole Sangale Rd, Madaraka Estate,
P.O Box 59857 00200, Nairobi, Kenya,
Cell: +254 703 414/6/7, Twitter: @SBSKenya
Email: info@sbs.ac.ke or visit www.sbs.strathmore.edu



Thursday, 28 November 2019

RE: FACILITATION OF RESEARCH – REUBEN MAYIENDA

This is to introduce Reuben Mayienda who is a Master's in Public Policy Management student at Strathmore University Business School, admission number MPPM 31290 /17. As part of our MPPM Program, Reuben is expected to do applied research and undertake a project. This is in partial fulfilment of the requirements of the MPPM course. To this effect, he would like to request for appropriate data from your organization.

Reuben is undertaking a research paper on "**Factors Influencing Public Participation in Road Projects; A Case of Kenya Urban Roads Authority.**" The information obtained from your organization shall be treated confidentially and shall be used for academic purposes only.

Our MPPM seeks to establish links with industry, and one of these ways is by directing our research to areas that would be of direct use to industry. We would be glad to share our findings with you after the research, and we trust that you will find them of great interest and of practical value to your organization.

We appreciate your support and shall be willing to provide any further information if required.

Yours sincerely,

A handwritten signature in blue ink, appearing to read "Caroline Tiara".

Caroline Tiara.
Manager – Masters' Programs
MBA, MPPM, MCOM

Appendix IV: Informed Consent Form

PARTICIPANT INFORMATION AND CONSENT FORM

Factors influencing public participation in Kenya Urban Roads Authority projects

SECTION 1: INFORMATION SHEET

Investigator: Reuben Mayienda

Institutional affiliation: Strathmore University Business School (SUBS)

SECTION 2: INFORMATION SHEET–THE STUDY

2.1: Why is this study being carried out?

This study therefore seeks to determine how organizational and institutional factors affect the level of public participation and the extent of public participation employed by Kenya Urban Roads Authority's (KURA's) in their roads projects with an aim of improving the KURA public participation process. The output of the research are expected to contribute to the strengthening of public participation processes and will inform policy practitioners on how organizational and institutional factors affect public participation in the design and implementation of road projects in Kenya. This will assist them to reorganize the public participation policy process in the infrastructure sector specifically to address the identified factors.

2.2: Do I have to take part?

No. The decision to take part in the study is entirely optional and the decision rests only with you. If you decide to take part, you will be asked to fill a questionnaire. If you wish to stop participating in the study after you begin, you can stop at any time.

2.3: Who is eligible to take part in this study?

The study will constitute staff directly involved in public participation activities for Kenya Urban Roads Authority and are therefore able to provide the required information regarding public participation initiatives at the organization.

2.4: Who is not eligible to take part in this study?

Individuals who are not directly involved in public participation activities for Kenya Urban Roads Authority.

2.5: What will taking part in this study involve for me?

You will be approached and requested to take part in the study. If you are satisfied that you fully understand the study and its goals, you will be asked to sign the informed consent form (this form) and then given a questionnaire to fill.

2.6: Are there any risks or dangers in taking part in this study?

There are no risks in taking part in this study. All the information you provide will be treated as confidential.

2.7: Are there any benefits of taking part in this study?

The output of the research are expected to contribute to the strengthening of public participation processes and will inform policy practitioners on how organizational and institutional factors affect public participation in the design and implementation of road projects in Kenya. This will assist them to reorganize the public participation policy process in the infrastructure sector specifically to address the identified factors.

2.8: What will happen to me if I refuse to take part in this study?

Participation is voluntary and you can choose to stop taking part at any time.

2.9: Who has access to my information during this research?

All research interview records will be stored in securely locked cabinets and all your information will be kept confidential.

2.10: Who can I contact in case I have further questions?

You can contact me, Reuben Mayienda at the Strathmore Business School, or by e-mail mayienda76@yahoo.com or by phone +254700214416. You can also contact my supervisor, Dr. Elizabeth Muthuma, at the Strathmore Business School, Nairobi, or by e-mail at emuhuma@strathmore.edu or by phone

If you have any further queries you can contact:

The Secretary–Strathmore University Institutional Ethics Review Board, P. O. BOX 59857, 00200, Nairobi, email ethicsreview@strathmore.edu Tel number: +254 703 034 375

I, _____, have been explained to about the study and understood.

Please check appropriately;

Participation;

☐

I AGREE to participate

☐

I DO NOT AGREE to participate

Participant's Signature:

Date: ____/____/____

Day / Month / Year

Time: ____/____

Hour / Minutes

I, _____ (Name of person taking consent) confirm I have elaborated on the research study as per this informed consent form and given the participant the opportunity to voice queries that they had.

Researcher's Signature:

Date:

____/____/____

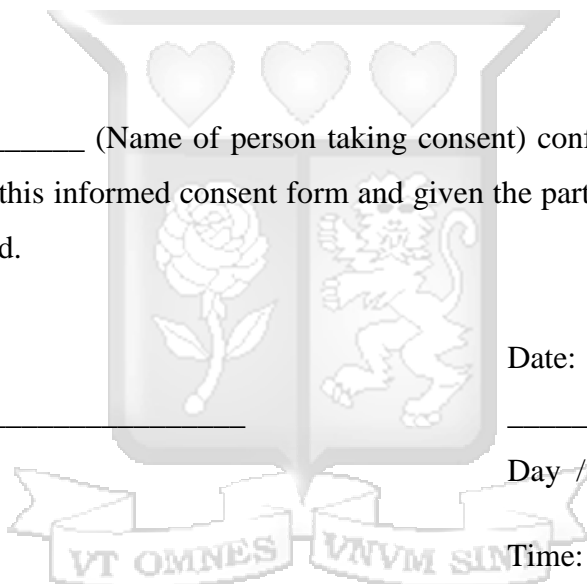
Day / Month / Year

Researcher's Name:

Time: ____/____

(Please print name)

Hour / Minutes



Appendix V: Research Questionnaire

Questionnaire

DATE:

YEARS OF SERVICE:

INTERVIEW CODE:

DESIGNATION:

1. How long have you worked on public participation initiatives at KURA?

Less than 1 year []

1 - 2 year []

2-3 years []

More than 4 years []

2. What is your highest level of education?

Technical and Vocation Education (TVET) []

Diploma []

Undergraduate []

Postgraduate (Master's, PhD) []

3. Briefly tell me about what your role in involving citizens in KURA projects entails.

.....

.....

.....

Section A: Level of Public Participation

4. What categories of the “public” do you involve in your projects?

Political leaders []

Opinion leaders []

Representatives []

General public []

Property owners []

others.....

Media []

5. At what level of the project do you involve citizens in the KURA projects?

Planning []

Tendering []

Feasibility Study/ EIA/ ESIA []

Construction/ Project Implementation []

Design []

Maintenance []

Others.....

6. To what extent do you agree with the following statements? (Check only one)

Level of Public Participation	No extent	Slight extent	Moderate extent	Great extent
	1	2	3	4
<p>KURA provides the public with balanced and objective information on its programmes/ projects to assist them in understanding the problem, alternatives, opportunities and/or solutions.</p> <p>(Informing)</p>				
<p>KURA obtains public feedback on analysis, alternatives and/or decisions regarding their programmes/ projects.</p> <p>(Consulting)</p>				
<p>KURA works directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.</p> <p>(Involving)</p>				
<p>KURA partners with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.</p> <p>(Collaborating)</p>				

KURA places the final decision making of its programmes/ projects in the hands of the public (Empowering)				
---	--	--	--	--

Section B: Public participation procedures

7. What channels do you use to involve the public in KURA project?

Face to face meetings []

Online platforms []

Media channels []

Written memorandum []

Others.....

8. To what extent do you agree with the following statements? (Check only one)

Public Participation procedures	No extent	Slight extent	Moderate extent	Great extent
	1	2	3	4
KURA has adopted public participation mechanisms				
There exists a stipulated procedure for public participation in KURA				
The public participation process affects the level of public participation.				
The procedure for public participation is clear				
The procedure for public participation stipulates the time limits for each step				
KURA sets clear goals for its public participation activities				

There is sufficient time to prepare for public participation initiatives				
There is a clear and functional feedback mechanism in place				

Section C: Human resource capacity

9. How many staff in your region or department participate in public participation initiatives?

.....

10. To what extent do you agree with the following statements? (Check only one)

Human resource capacity	No extent	Slight extent	Moderate extent	Great extent
	1	2	3	4
KURA has staff dedicated to conducting public participation activities				
KURA has trained its staff on Public participation				
I have the competence to conduct public participation activities				
I have at my disposal the necessary resources to conduct public participation activities				
Public participation is crucial in KURA projects				
I can present issues to the public in a manner that they can easily understand				

Section D: Financial resources

11. To what extent do you agree with the following statements? (Check only one)

Financial resources	No extent	Slight extent	Moderate extent	Great extent
	1	2	3	4
KURA provides a budget/ funds specifically for public participation activities in its programmes				
The financial resources are accessible whenever they are required for public participation				
There is sufficient financial resources for public participation				
Financial resources affect the level of public participation adopted at KURA				

Section E: Organizational Strategy/ goals

12. Does KURA have organizational goals/ objectives that involve public participation activities?

Yes [] No []

If yes, list them below

.....

.....

.....

13. To what extent do you agree with the following statements? (Check only one)

Organizational goals	No extent	Slight extent	Moderate extent	Great extent
	1	2	3	4
KURA's strategy incorporates public participation as a key pillar for service delivery.				
It is part of KURA's mandate to involve the public in their projects				
My performance contract is dependent on my delivering of particular public participation initiatives				
Organizational goals affect the level of public participation adopted				

Section F: Timing of participation activities

14. How long in advance do you inform the public of a public participation activity?

Less than 1 week [] 1 - 2 weeks [] 2-3 weeks []

3-4 weeks [] More than 4 weeks []

15. How do you inform the public of an upcoming public participation forum?

Local radio station []

Short message service []

Television stations []

Newspapers []

Social media platforms []

Posters []

Local Barazas []

Door to door campaigns []

16. To what extent do you agree with the following statements? (Check only one)

Timing of participation activities	No extent	Slight extent	Moderate extent	Great extent
	1	2	3	4
Sufficient time is allocated to informing the public on upcoming public participation forums				
Sufficient time is allocated to public participation activities				
Public participation is conducted during specific times of the week				
Public participation is organized around various activities in the community e.g. community gatherings				
Sufficient time is given for the public to engage in public participation forums				
The timing of public participation activities affect the level of public participation used				

Section G: Legal and policy framework

17. To what extent do you agree with the following statements? (Check only one)

Legal and policy Framework	No extent	Slight extent	Moderate extent	Great extent
	1	2	3	4
There exists a legal framework for public participation in Kenya				
There is a formal procedure for hosting public participation forums				
KURA has a reference guideline for its public participation initiatives				
There exists clear guidelines that KURA refers to on how to implement PPs				
The legal or policy framework clearly stipulates how to involve the public				
The legal or policy framework clearly stipulates in what stages of a project the public should be involved				

18. In our opinion, how do you think KURA's public participation initiatives can be improved?

.....

.....

.....